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ABSTRACT

This document asks institutions of higher education in England to complete the annual survey on full-time equivalent student load on recognized higher education courses. The data will give an early indication of the number of higher education students studying in the academic year 2003-2004. It will enable the Higher Education Funding Council for England to monitor the achievement of the funding agreement targets for 3003-3004, and, with data supplied to the Higher Education Statistics Agency, it will inform the allocation of teaching funds for 2004-2005. This document provides guidance for completing the survey, definitions used in the survey, and examples of the survey tables, which are distributed electronically. Responses are requested online by December 2003. Twenty annexes contain additional detailed information for sections of the survey. (SLD)

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ED 482 052

September 2003/44

Core funding/operations

Request for data

Returns should be uploaded to the secure area of the HEFCE web-site, by Tuesday 9 December 2003

This document asks institutions to complete the annual survey on full-time equivalent student load on recognised higher education courses. The data will give an early indication of the number of HE students studying in the academic year 2003-04; enable us to monitor the achievement of the funding agreement targets for 2003-04; and, with data supplied to the Higher Education Statistics Agency, inform our allocation of teaching funds for 2004-05.

HESES03

Higher Education Students Early Statistics Survey 2003-04

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HIGHER EDUCATION FUNDING COUNCIL FOR ENGLAND

HESES03

Higher Education Students Early Statistics Survey 2003-04

To	Heads of HEFCE-funded higher education institutions Heads of universities in Northern Ireland
Of interest to those responsible for	Student data, Funding
Reference	2003/**44**
Publication date	September 2003
Enquiries to	Joe Clark tel 0117 931 7292 e-mail heses@hefce.ac.uk

Executive summary

Purpose

1. This document asks institutions to complete the annual survey on full-time equivalent student load on recognised higher education (HE) courses.

Key points

2. The data will:

a. Give an early indication, including for government planning purposes, of the number of HE students studying in the academic year 2003-04.
b. Enable us to monitor the achievement of the funding agreement targets for the academic year 2003-04.
c. Together with data supplied to the Higher Education Statistics Agency (HESA), inform our allocation of teaching funds for the academic year 2004-05.

3. This document provides:

a. Guidance notes for completing the Higher Education Students Early Statistics Survey 2003-04 (HESES03).
b. Definitions used in the HESES03 survey.
c. Examples of the survey tables, which will be distributed electronically.

4. Information contained in the annexes will help institutions to complete the survey.

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Action required

5. Returns should be uploaded to the secure area of the HEFCE web-site, by **Tuesday 9 December 2003**. Excel workbooks will be available to institutions' HESES contacts in November 2003.

The HESES03 survey

6. The following sources of data will inform our allocation of funds for 2004-05:

- HESES03
- the HESA/Learning and Skills Council (LSC) July 2003 individualised student record
- Research Activity Survey 2003.

7. HESES03 should be completed by all higher education institutions (HEIs) receiving HEFCE recurrent funds for teaching. The Research Activity Survey 2003 will be issued in October 2003: it should be completed by all institutions that receive HEFCE funding for research in 2003-04, or that expect to receive such funding in 2004-05.

8. Coverage of the HESES03 survey is given in Annexes B and C. Definitions of when activity should be counted are in Annex D. Annexes E to J explain how to record different categories of activity.

9. All activity that meets the criteria set out in Annexes B to D should be reported, even if it will not be used directly to allocate funds. For example, HEFCE will not support students ordinarily resident outside the European Community (EC), but these students should still be included in the 'Island and overseas' column on the tables.

10. For allocation purposes we source various information from the HESA/LSC July 2003 individualised student records. In particular, we expect to use the following fields:

a. Disabled Students Allowance (to determine whether the student should count towards the calculation of the disability allocation).
b. Postcode (the home postcode may be used to determine whether the student should count towards the calculation of the allocation for widening access).
c. Highest qualification on entry (may be used to determine whether the student should count towards the calculation of the allocation for improving retention).
d. Date of birth (may be used in allocations for widening access and improving retention).
e. Cost centre (may be used in allocating load to new price groups – see HEFCE 2003/42 'Development of the funding method for teaching from 2004-05: consultation').
f. The FUNDCOMP field (completion of year of programme of study) from the HESA record (may be used to determine non-completion rates – see HEFCE 2003/42).

Institutions should note that the underlying populations are determined using a wide range of fields, so incomplete records will adversely affect the funding allocations. Full details of these algorithms are in 'Guide to HESES02 re-creation web facility' (HEFCE 2003/39).

11. Directly funded further education colleges (FECs) make a similar return to us on the Higher Education in Further Education: Students Survey 2003-04 (HEIFES03), issued as HEFCE 2003/45.

Institutional contacts

12. Institutions have sent us details of a contact for the HESES survey. If institutions wish to check or change their HESES contact details, they should speak to or send an e-mail to their HEFCE higher education adviser (HEA). The HEA for each institution can be found on the HEFCE web-site under About us/Contact us.

Data collection and verification

13. Enquiries about this survey should be addressed to Joe Clark (tel 0117 931 7292, e-mail heses@hefce.ac.uk). There is a web page giving answers to frequently asked questions and examples of completed HESES returns. The web page will also contain any amendments or clarifications that need to be made after the publication and workbook are available. It can be found on the HEFCE web-site, www.hefce.ac.uk, under Questions/HESES FAQs. The web page is updated regularly and institutions are expected to look here for guidance before and during completion of their HESES return. We will use an e-mail list of HESES contacts to notify institutions of any significant changes or updates. We will not use this simply to notify them of changes to the information on the web.

14. An Excel workbook will be available for download by institutional contacts in November 2003. Notes on the workbook are at Annex O.

15. The workbook contains a number of validation checks, detailed in Annex N, and we will carry out further checks when we receive it. Once we have validated the returned data, institutions will be asked to verify their returns. We may refuse to revise allocations once data have been verified.

Outline timetable and process for the 2004-05 funding round

16. Institutions are required to return their HESES03 survey by Tuesday 9 December 2003. Once we receive the data, we carry out a number of validation and credibility checks, and calculate whether institutions have met their funding agreement targets for 2003-04. The data do not need to be formally signed off by the vice-chancellor or principal at this stage. However, it is good practice for a senior member of the institution to have agreed the return prior to submission.

17. During December, HEAs will write to institutions, enclosing a printout of their HESES data and the comparison and grant adjustment reports generated from them. Institutions will be asked to:

- verify that the data are accurate, or make corrections
- answer any questions we may have on the data
- submit any appeals against adjustments to grant made by formula, such as holdback.

18. By 13 January 2004, all institutions must have signed off their HESES data as being correct as at the census date of 1 December 2003. The data should be signed off by the vice-chancellor or principal of the institution, or their most appropriate deputy, on the institution's behalf. This person should be different from, and preferably senior to, the preparer of the return, and should assess the return for accuracy and completeness before signing it off. The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by institutions. We will normally expect institutions to answer any questions about data within five working days.

19. During January we will consider any appeals against grant adjustments made by formula. Institutions will be notified of the outcomes of their appeals in February. We will announce provisional allocations of recurrent grant for 2004-05 on 3 March 2004.

20. The timetable is summarised below:

November 2003	HESES workbooks available to institutions
December 2003	• 9 December – deadline to return HESES data • Mid-December – validation and credibility checks by HEFCE • Mid-December – HEAs write to institutions, asking them to verify the data, answer any questions about the data and submit any appeals. Institutions will normally have five working days to answer questions about data
January 2004	• 13 January – institutions must have authorised and signed off their HESES data as being correct at 1 December 2003 • 13 January – deadline for submission of appeals
February 2004	Institutions notified of outcome of appeals
3 March 2004	Institutions notified of provisional allocations of recurrent grant for 2004-05
14 May 2004	Deadline for institutions to request amendments to provisional allocations
Late July 2004	Institutions receive their funding agreements, including final grant allocations, for 2004-05

21. There are two grant announcements in the year – in March and July. To be reflected in the March grant announcement, we need to have received all HESES data amendments by 13 January. To be reflected in the July grant announcement, we will need to have received any further HESES data amendments by 14 May. However, because our total budget is limited, we cannot guarantee to provide additional funding arising from amendments received after 13 January. All changes to grant after the initial March announcement are subject to approval by our Board; we will not confirm the effects on funding of data changes until that approval has been given. After the March grant announcement, the Board will next consider changes to grant in June so that they can be included in the July funding announcement.

22. In January 2005, we will compare HESES03 data with the July 2004 HESA student record and the July 2004 LSC individualised learner record (ILR). Where we find – through

audit, comparison with HESA data, or otherwise – that an institution has received higher allocations than it should have done, we will reduce grant accordingly.

Returns

23. Returns should be uploaded to the secure web-site no later than **Tuesday 9 December 2003** (see Annex O for details).

24. We will not accept any requests for late submission of data. Where an institution fails to return data on time, or the returned data are not credible, we may base the allocation of funds on our own estimate of student activity. Institutions that do not submit credible data on time are more likely to be audited.

Audit

25. We will audit HESES03 data. Institutions should therefore keep an adequate audit trail recording how the data were derived. This is especially important where institutions are including estimates or making judgements; for example, the basis for forecasting non-completions should be recorded. Our auditors will also seek to rely on any relevant internal audit work that has been carried out on the student record system and/or the method for compiling the HESES return, where appropriate.

26. As part of our audit process we will compare HESES03 data with a variety of other data, most notably individualised HESA data as these become available. Where we find – through audit, comparison with HESA data, or otherwise – that an institution has received higher allocations than it should have done, we will reduce grant accordingly. Details of how we will compare data are given in 'Guide to HESES02 re-creation web facility' (HEFCE 2003/39), and in Annex M. We will also compare data returned on HESES03 and data returned on the Research Activity Survey 2003. We may refuse to accept data where there are significant differences.

Audit of HESES02 (see Annex R for full details)

27. For HESES02 we are auditing 21 institutions and following up previous audits at a further three institutions. At the time of preparing this publication not all the audits had been undertaken. The completed audits highlighted areas in which some institutions were incorrectly interpreting the HESES guidance, or where internal institutional systems and practices did not facilitate the production of the HESES return. The findings included:

- lack of robustness in the estimation of non-completions
- lack of robustness in the estimation of forecast countable years
- incorrect assignment of departments to cost centres
- incorrect apportionment of student load to cost centres, where a course is in more than one cost centre
- incorrect calculation of part-time load factors
- incorrect fundability status

- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HESES return
- inappropriate authorisation of the HESES return
- lack of knowledge management
- poor use of student record data as management information
- variable practices in faculties, schools and departments producing inconsistent data
- students studying outside the UK being incorrectly included in the HESES return
- students incorrectly recorded more than once in the HESES return.

Annex A

Summary of changes and clarifications since HESES02

1. Students from countries joining the European Community (EC) during the 2003-04 academic year should be returned as 'Island and overseas' in HESES03. We will use 2002-03 HESA data to determine any adjustments in funding calculations arising from enlargement of the EC.

2. Column 6 (c) on Tables 1a, 2 and 3 is hidden for all institutions that do not lead a HEFCE-recognised funding consortium. See Annex B paragraphs 4-15 for details.

3. As last year, institutions will download their blank workbooks from a secure web-site. This year, however, completed workbooks will be uploaded to the same web-site instead of being returned to us by e-mail. See Annex O for details.

4. Students from Gibraltar should be treated in the same way as students from countries in the European Economic Area but not the EC. See Annex F paragraph 2 for details.

5. Our definition of completion has changed to take into account students that pass a module without sitting the final assessment of that module. See Annex D paragraphs 14-21 for details.

6. The title and column headings on Table 7 have changed to recognise the fact that students can be domiciled outside the EC but still eligible for home and EC fees. The table now correctly splits students into 'home' and 'other students eligible for home and EC fees'.

7. Home and EC students are those meeting the definition of eligible students in the Education (Fees and Awards) Regulations 1997, as amended.

8. Undergraduate clinical dental students are now those on the final four years (instead of final three and a third) of a registrable dental qualification.

Annex B

The HESES03 student population

1. HESES03 records counts of years of programme of study for students aiming for a recognised HE qualification. The students that generate these years of programme of study are called the HESES03 student population. Paragraphs 2 and 3 below define which students should be included in the HESES03 student population. Some students within this population may generate years of programme of study which are counted in a previous or future HESES survey, but not generate any years included in HESES03 (see Annex D for when to count activity). All years of programme of study counted in HESES03 must relate to a student within this population.

2. Students meeting **all** of the following criteria should be included in the HESES03 student population:

    a. At least part of a year of programme of study in which they are actively pursuing studies with the institution falls within the academic year 2003-04. This includes outgoing exchange students.
    b. They are studying towards a recognised HE qualification aim, or a credit that can be counted towards such a qualification, as defined in Annex C.
    c. They have an individual student record returned to HESA or on the LSC ILR.
    d. They are not being returned on any other institution's HESES or HEIFES return.

3. Students in **any** of the following categories should **not** be included in the HESES03 student population:

    a. Students not studying towards a recognised HE qualification aim, or a credit that can be counted towards such a qualification. Students whose sole qualification aim is an NVQ should not be included. Students should be included if they gain both a recognised HE qualification and an NVQ as the result of a programme of study.
    b. Students who will not be included in the individualised student record for the institution at which the student is registered. All students included in the HESES03 student population must be included on the registering institution's individualised student record, even if this is not normally compulsory under the coverage of the record.
    c. Incoming exchange students.
    d. Students franchised-in from another institution, or who are part of a HEFCE-recognised funding consortium where the institution is not the lead institution (see paragraphs 4-15 below).
    e. Students spending most of their time for the whole programme of study outside the UK (including distance learners outside the UK), except where:
        i. There is a clear academic reason for studying abroad rather than in the UK. Even where such a benefit exists, we must specifically sanction the course as eligible.

ii. The student is temporarily and unavoidably abroad and remains liable to UK tax on their earnings, or is a dependant of such a person. This includes members of HM Forces and their dependants.

Sandwich students working abroad and language year abroad students should normally be included in the HESES03 student population, as the year abroad will not constitute most of their programme of study.

f. Students for whom no year of programme of study in which they are actively pursuing studies falls at least partly within the academic year 2003-04. For students following standard academic years this means the student is not actively pursuing any studies within the year. This includes students who are writing-up for the whole of the academic year.

g. Students registered for research qualifications awarded primarily on the basis of published works should not be included in the student population unless they undertake a significant amount of research at the institution.

h. Students who are on school-centred initial teacher training (SCITT) programmes.

i. Students who are being returned on any other institution's HESES or HEIFES return.

Students taught under partnership, collaborative or similar arrangements

4. Institutions should note that a student is considered to be 'registered' on the HESA student record at the institution that collects the fee for the student.

5. Many students are taught under a variety of collaborative arrangements. For the purposes of HESES03, there are two broad types:

a. Franchises. This applies to virtually all collaborative arrangements, including many that institutions may refer to as consortia, such as those for the delivery of foundation degrees.

b. HEFCE-recognised funding consortia.

6. The features of these two broad types of collaborative arrangement are described below. Institutions that are the lead or franchiser in such collaborative arrangements are asked to identify the student numbers involved separately in HESES. However, only the institutions that are the lead in a HEFCE-recognised funding consortium will be able to input data in the cells relating to such consortia in Tables 1a, 2 and 3.

Collaborative arrangements treated as franchises for HESES purposes

7. Unless the student is being taught through a HEFCE-recognised funding consortium, all provision that is delivered through a collaborative arrangement is regarded as being a franchise for the purposes of HESES03. Industrial placements, work experience and language years abroad should not normally be regarded as franchised-out for the purposes of HESES.

8. The following paragraphs explain who should return franchised activity to us. The 'HEFCE survey' referred to below will be either:

- HEIFES03 for FECs or
- HESES03 for HEIs.

9. Where one institution enrols a student and collects a fee for tuition or supervision of research for that student, but the student undertakes all or part of their study at another institution, only the institution that receives the fee should include the student in its HEFCE survey student population. Such a student is regarded as franchised-out by the institution collecting the fee.

10. If a course is run jointly by more than one institution, only the institution that receives the fee should include the student in its HEFCE survey student population.

11. If two institutions receive a fee from a student for a given year of programme of study of a course, the institution that receives the largest portion should include the student in its HEFCE survey student population. If both institutions receive the same amount, the institutions must ensure that only one includes the student in its HEFCE survey student population.

12. In some cases the institution teaching the student may collect the fee on behalf of another institution. Where this is the case, if the fee is transferred directly to another institution, the institution the fee is transferred to should include the student in its HEFCE survey student population. If the fee itself is not transferred but is used to offset payments between two institutions in respect of the student, this should be treated as if the fee had been transferred.

13. In all the above cases, the student is recognised as a student of the franchiser. The institution that includes the student in its HESES03 student population must also return a record to HESA, and its performance indicators and quality assessments will take account of activity relating to that student as appropriate. The HESA record of such a student must clearly identify the nature and extent of the franchise.

HEFCE-recognised funding consortia

14. A HEFCE-recognised funding consortium is a mechanism for distributing grant to a group of institutions through a single lead institution. Consortia are only 'HEFCE-recognised funding consortia' if we have notified the institutions concerned in writing. As with a franchise, the lead institution will return all data relating to the consortium in its HESES return, while the individual consortium members will not report the provision in any aggregate student number returns they may make to us.

15. However, such an arrangement differs from a franchise in that the student is recognised as a student of the appropriate consortium member, rather than of the lead

institution. This means that the students will be reported in either the HESA or LSC individualised returns of the appropriate consortium member, rather than those of the lead institution. Likewise, the students will be reflected in the performance indicators and quality assessments of the member institution, rather than the lead. Apart from for HEFCE funding purposes, the students will in all other respects be treated as students of the consortium member.

Annex C

Recognised courses of HE

1. Recognised courses of HE are those defined in paragraph 1 of Schedule 6 of the Education Reform Act 1988. This includes any postgraduate or undergraduate degree, accredited HE diploma or certificate. Other courses leading to professional or vocational qualifications may be included if they are generally recognised as HE qualifications; this does not include NVQs.

2. Students who are not studying towards a recognised HE qualification, or a credit that can be counted towards one, are excluded from the HESES03 student population.

3. Foundation years, and other provision commonly referred to as 'level 0', are recognised courses of HE only if they are an integrated part of a recognised HE qualification. Free-standing foundation years and other free-standing 'level 0' provision are not recognised courses of HE.

Annex D

Countable years of programme of study

1. Students study towards qualification aims over a period of time. This period can be split into one or more years of programme of study. The first year begins when the student starts studying towards the qualification aim; the second and subsequent years start on or near the anniversary of this date.

2. HESES counts years of programme of study for students aiming for recognised HE qualifications. This is not the same as counting students. This approach ensures that comparable activity is recorded in the same way, irrespective of when it occurs.

3. Exceptionally, a student may study towards two or more independent qualifications concurrently. Each programme of study would then generate its own year of programme of study which would be countable. Thus, a student studying towards a PhD and an unrelated undergraduate professional qualification would generate two years of programme of study each year. However, a student studying for several institutional credits that can count towards the same final qualification would generate only one year of programme of study each year. Usually, independent qualification aims would have different qualification aim codes on the HESA student record. This might not be the case if the qualification aim code were sufficiently general, for example 'professional qualifications'.

4. Students on Ufi courses who are also registered for an HE qualification should only be returned using their main qualification aim. The two qualifications should not be treated as independent, so the student would only generate one year of programme of study.

5. Where students complete a foundation degree and then undertake a foundation degree bridging course to enable them to join the final year of an honours degree, the foundation degree bridging course should be treated as an independent course which will generate its own year of programme of study. See paragraphs 30 and 31 below.

6. In all cases, where a student is studying for two or more separate and independent qualification aims, each should be returned with its own HIN identifier (see Glossary, Annex S) on the HESA student record. Guidance on the HIN can be found in the HESA student record coding manual under NUMHUS (field 151/136); additional notes on linking and target lists for the HIN are in Appendix 11 of the same publication.

7. For students within the HESES03 student population, exactly when a year of programme of study becomes countable depends on how its FTE is reported to HESA. There are four types of HESA record:

For standard academic years

a. All activity for a year of programme of study is within one academic year. Students following standard academic years will fall into this category. Most HESA records are of this type.

For non-standard academic years

b. Activity for a year of programme of study spans two academic years, and the whole of the FTE is reported in the academic year in which the year of programme of study begins.

c. Activity for a year of programme of study spans two academic years, and the whole of the FTE is reported in the academic year in which the year of programme of study ends.

d. Activity for a year of programme of study spans two academic years, and the FTE is split proportionally across them.

8. To be counted, years of programme of study must be generated by a student in the HESES03 student population, and meet **all** the following criteria:

a. A fee is charged for tuition or supervision of research. This fee may be waived.
b. The FTE for the year of programme of study is at least 0.03.
c. The student is not writing-up a thesis or similar piece of work for the whole of the year of programme of study.

Students are writing-up where they have completed their research work and will not undertake any significant additional research. It is common practice for such students to still receive a small amount of supervision, and they may still have access to other facilities at the institution. However, such students should still be treated as writing-up.

9. Years of programme of study within cases (a) and (b) above will be counted on their commencement date and its anniversary.

10. For students falling into case (b) above, the final academic year during which the student is active will not usually generate a countable year of programme of study. It will do so, however, if a student undertakes a short period of activity after the anniversary of their commencement date and that activity ends in the same academic year. If the short period of activity starts and is completed before 1 December, the student should still be returned in Column 1 of the HESES tables.

11. Years of programme of study within cases (c) and (d) above will be counted in HESES on 1 August in each academic year in which activity occurs, except the first. Where, exceptionally, all activity for the final year of programme of study falls entirely within an academic year, the student will generate two countable years of programme of study: one on 1 August and a second when the final year of programme of study begins.

12. For students within case (d), it is not possible to identify a year of programme of study from the July HESA student record. Institutions should, where possible, avoid making an approximation of activity for the year of programme of study. For monitoring purposes, where a student is active for the whole academic year we will assume that the load for the year of programme of study is broadly comparable to the load for the academic year. Where the

student is not active for the whole year we will make an approximation based on the current year and the first year in which the student was active. Full details of this process can be found in paragraphs 45-57 of Annex D of the 'Guide to HESES02 re-creation web facility' (HEFCE 2003/39).

13. Occasionally some students may join a programme of study at a date different to the usual start date. Such students may be treated as if they had joined with the rest of the cohort if:

a. Having caught up with the rest of the cohort, they will subsequently follow an identical pattern of study and

b. Activity for all years of programme of study for the cohort falls within the academic year.

If this is not the case the student should be treated as on a non-standard programme of study.

Non-completions

14. Non-completion is defined in terms of modular programmes of study. It applies to all institutions, including those that may not consider their programmes to be modular. For HESES purposes a module is taken to mean a discrete component within a programme of study, sometimes referred to as a unit, 'course' or option. Where a student is studying a number of modules that may all count towards the same qualification then this should be treated as a single programme of study. We have changed the definition with effect from 2003-04 to recognise that some students may choose not to undergo final assessment on the basis that they have already met the academic criteria to pass the module.

15. A student who fails to complete (that is undergo the final assessment of, or pass) any module within the year of programme of study is to be returned as a non-completion for all activity in that year. However, an exception is allowed for full-time students where the module is in addition to the standard requirements for full-time study.

16. Where there is no final exam, or the final exam does not constitute the final assessment for the module, for example where a dissertation is submitted after exams, completion would be measured against submission of the final coursework or dissertation for the module, or passing the module.

17. Exceptionally, a year of programme of study that counts towards a qualification taken over several years may not contain any formal assessment, for example where assessment will take place at the end of a later year. In this case, continued attendance throughout the year of programme of study would constitute completion. Institutions should therefore ensure adequate evidence of attendance exists, such as class registers.

18. Where assessment is optional (for example on open programmes, including continuing education provision) students should only be treated as completions where they undergo formal assessment such that if they pass the assessment they will be awarded credits.

19. Where a part-time student has a clear intention of completing a specified activity within the year of programme of study, completion is measured against this. Thus, if a student starts the year intending to follow a certain pattern of activity but does not complete it, then that student would be a non-completion for all activity for the year. If the programme of study did not specify the pattern of activity within the year, then, provided that the student completed all activity started in the year, he or she would be considered as completing.

20. In some cases the final assessment for a module may fall outside the academic year in which it is counted, or exceptionally outside the year of programme of study. In either case, completion of the module is still measured against attendance at the final exam or submission of final coursework relating to the module, or passing that module. For example, if a student studies on a standard academic year but the examinations are held in August, completion will be determined by attendance at the August examination, or by passing the module.

21. Institutions should ensure that estimates of non-completion are supported by historical data – see Annex R for details about common errors discovered as part of our audit of HESES02.

New entrants

22. New entrants are defined as students registered for the first (or only) year of a course leading to a recognised HE qualification. Note that:

a. Students re-taking the first year of a course should be included as new entrants.
b. Students transferring between courses are to be included only if they are registered as first-year students on their new course.
c. Students entering directly on to the second or subsequent year of a course should not be counted as new entrants.
d. Students whose course includes an integrated foundation year (at 'level 0') should be counted as new entrants only during their foundation year. In this case the student should not be counted as a new entrant during year one of the course.

Summer schools

23. There are four types of short course that are sometimes referred to as summer schools. These are described in more detail below.

Summer schools for potential HE students

24. These are intended for potential HE students to experience a short period of study in an HE environment in the summer vacation. Students are not included in the HESES population as the course is not HE level.

Access provision

25. In some cases, institutions offer short preparatory or access courses for individual students to facilitate progression on to an initial HE qualification. These are taken immediately before the start of their HE qualification. Where this is an integral part of an HE level course, then it is included in the HESES population. It will only be considered integral if successful completion of the access provision guarantees seamless continuation on to the HE level course, and the student has enrolled for both the access provision and the HE level qualification on entry to the access course. The short access course and the first year of the HE course will typically count as one year of programme of study. This may result in the year of programme of study being counted as long, as defined in Annex J.

26. If the access provision is not an integral part of the HE level course, it is not HE level and the students are not part of the HESES population.

Within-course periods of study in vacation time

27. These are within-course short periods of study which generally take place in the vacation periods and are normally for students to catch up with others on the course. They are usually between years of programme of study but within a course. They are counted as part of the preceding year of programme of study and may result in that year of programme of study being counted as long, as defined in Annex J.

28. Where the short period of study occurs during the summer vacation, this may cause students who would normally be following standard years of programme of study to generate a non-standard year for the year which includes the short period. However, for data collection purposes, they should be treated as standard academic years.

Example

29. A student studies full-time for a degree over three years, with activity for each year of programme of study running from October to July. Between the second and third years, a short period of study, running from 25 July to 5 September, is undertaken to bring the student up to the standard of others on the course. This short period of study counts as part of the second year of the degree, and the second year of programme of study counts as a standard academic year. The year of programme of study would only be counted as long if it fitted the criteria to be long, in Annex J.

Foundation degree bridging courses

30. These are courses which come after a foundation degree has been completed, but before the final year of an honours degree course. They are short courses which are not an integral part of the course they are bridging from. Progression is assured from successful completion of a foundation degree bridging course to the final year of an honours degree. For the purposes of HESES, they are counted as a separate year of programme of study and are

returned as part-time with an FTE of 0.3. If the bridging course spans two academic years, it should be recorded in the academic year in which the bridging course ends.

31. Where a student is studying a foundation degree bridging course, the FTE recorded in field 74, STULOAD, on the HESA student record should be increased to reflect this. Where the bridging course spans academic years, the load should all be returned in the second academic year; this may differ from the method used for other non-standard academic years. Institutions should also indicate in field 52, SPPRG, that the student has studied a foundation degree bridging course in the year in which the FTE is increased. It may be that the inclusion of a foundation degree bridging course means that the year of programme of study becomes non-standard. However, where the year would otherwise have been recorded as a standard academic year, it should still be recorded as such.

Example

32. A student completes a foundation degree in June 2004, then undertakes a bridging course from July to September and then joins the final year of a degree which they complete in June 2005.

Field	July 2004	July 2005
QUALAIM	28	21
STULOAD	100	130
TYPEYR	1	1
SPPRG	N/A	08

33. Where a student's only activity during the academic year is a foundation degree bridging course, they should be returned with a value of 61, 'Institutional undergraduate credit which may be counted towards qualifications within codes 01 to 52' in field 41, QUALAIM. (That is, when a student withdraws during or following completion of the course, or where they transfer in from another institution before starting the course.)

34. Where a student undertakes a foundation degree and starts a bridging course in the same academic year, but the bridging course is counted in the next academic year, then field 155, FUNDCOMP, should reflect whether the student completed the foundation degree and will therefore usually be returned with a value of 1. If the bridging course does not continue into the next academic year then field 52, SPPRG, should be coded as 08, and field 155, FUNDCOMP, should reflect whether the student completed the bridging course. Similarly where the student progresses to a degree after completion of the bridging course, FUNDCOMP should reflect the completion status of the year of programme of study of the degree.

Annex E

Full-time equivalence for part-time years of programme of study

1. Student load recorded on HESES03 should relate to the years of programme of study being counted. In some cases this may not be consistent with the load returned on the HESA student record. However, it should be consistent with HESA data when summed over the programme of study.

2. The FTE for a part-time course is calculated by comparison with an equivalent full-time course, where such a course exists. If an equivalent full-time course does not exist, a reasonable academic judgement should be made of the load relative to a full-time student. Where such a judgement is made, the methodology should be recorded for audit purposes.

3. Calculation of the FTE can be based on either:

a. Duration of the course or
b. Credit points studied.

In both cases, when viewed as a whole, the total FTE for a part-time course should equal the total FTE of the equivalent full-time course. Where method (a) is used, the calculation should be based on the number of years of programme of study. However, where a student is exempt from part of a course, for example as the result of accredited prior learning (APL), the total FTE of the full-time course should be reduced accordingly.

4. The FTE for a foundation degree bridging course, as defined in Annex D, paragraphs 30 and 31, is 0.3.

5. Where a student does not complete a year of programme of study, the FTE should not be recorded on HESES. This is not consistent with the load returned on the HESA record. When comparing the HESA student record with HESES, we will make adjustments to the load returned to HESA to reflect years not completed.

6. Where it is already known that full-time students have changed or will change mode, within the year of programme of study, to become part-time students, the year of programme of study should be recorded as part-time only. Their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

Example 1

7. Duration of the course: a full-time course is studied over three years. The equivalent part-time course is studied over six years, and so would have an FTE of 0.5 in each year.

Example 2

8. Credit points: a full-time course is studied over three years with 120 credits taken each year. The equivalent part-time course lasts six years. Ninety credits are studied in each of the

first three years and 30 credits in each of the final three. The FTE would be 0.75 in each of the first three years and 0.25 in each of the final three.

Example 3

9. A student with APL enters directly on to the second year of a degree course and completes the final two years of the degree in four years. The final two years of a degree if completed full-time would have a total FTE of 2. Therefore, the total FTE for the student is 2 and the FTE in each year is 2 ÷ 4 = 0.5.

Example 4

10. A student who starts off as full-time but is known to be changing to part-time in the second term of the year of programme of study, studying at the same rate as a part-time student with an FTE of 0.5 per year of programme of study, should be returned on the part-time table with an FTE of 0.67. This is made up of 0.33 for the first term and 0.5 ÷ 3 = 0.17 for each of the second and third terms = 0.67 in total for the year of programme of study.

Annex F

Residential and funding status

Home and EC students

1. Students are classified as home and EC if they can be regarded as eligible students as defined in the Schedule of the Education (Fees and Awards) Regulations 1997 (SI 1997 No. 1972), as amended. The Education (Fees and Awards) Regulations can be found on the HMSO web-site – www.hmso.gov.uk under Legislation/United Kingdom/Statutory Instruments. A list of countries belonging to the EC is on the HEFCE web-site under Questions/HESES FAQs.

2. Students from countries that are in the European Economic Area (EEA) but not the EC (currently Iceland, Liechtenstein, Norway and Switzerland) will only be considered in the same way as home and EC students if they meet the criteria laid down in the above regulations. Students from Gibraltar should also be treated as if they were from a country in the EEA but not the EC.

3. Students from countries joining the EC during the 2003-04 academic year should be returned as 'Island and overseas' in HESES03. We will use HESA data as necessary to derive assumed numbers of students from these countries.

HEFCE-fundable students

4. Home and EC students are eligible for HEFCE recurrent funds for teaching (HEFCE-fundable) if they satisfy **all** of the following conditions:

   a. They are on courses of recognised HE, as defined in Annex C.
   b. The course is open to any suitably qualified candidate.
   c. The course is not being supported from any other EC public source. Where the fee plus income from a public source is insufficient to cover the HEFCE standard resource, then a proportion of the students on the course can be returned as HEFCE-fundable (see paragraph 6a).

5. Where a student is not subject to the regulated fees and the fee is being paid by a source other than an EC public source, the eligibility for funding does not depend on the level of fee charged.

6. The following students are **not** eligible for HEFCE recurrent funding for teaching (recorded as HEFCE non-fundable):

   a. Students on courses which would otherwise be HEFCE-fundable, but whose places are funded at the standard HEFCE rate, or higher, from another EC public source, such as the Department of Health, NHS, or the Home Office. In some cases an EC public source may provide funding that is in addition to the mandatory or recommended fees, pro rata for part-time students, but the funding falls significantly short of the HEFCE standard rate for the student. In this case, the total funds received in addition to the fees should be used to calculate the number of students which (for funding purposes) are assumed to be fully supported from other EC public sources, with the remaining students being eligible for HEFCE recurrent funding. A template is available on the HEFCE web-site under Questions/HESES FAQs to help determine fundability status in these cases.

b. Students registered on courses that are not funded through HEFCE recurrent funds for teaching, but whose funding has been separately agreed and notified by us. This includes some prototype foundation degrees (see the description of the fundability status of prototype foundation degrees in paragraphs 7 and 8 below), and courses where we distribute funds on behalf of other government departments.

c. Students on initial teacher training (ITT) courses which lead to qualified teacher status (QTS); and all students holding QTS who are on an in-service education of teachers (INSET) course. This will include students transferring from courses where funding has been provided by the Teacher Training Agency (TTA) for the whole year.

d. Students on pre-registration nursing or midwifery degrees and courses (including postgraduate courses) leading to a recognised professional qualification in dietetics, speech and language therapy, chiropody/podiatry, or prosthetics and orthotics.

e. Students franchised to an institution that is not either:

- an HEI supported from public funds, or
- an FEC supported from public funds

except where specific approval has been given. Institutions must ensure that all franchises to any other organisation have been specifically approved by HEFCE before students are returned as HEFCE-fundable on HESES. Institutions should reapply if there is a material change in the arrangement.

f. Students on closed courses. These are courses that are restricted to certain groups of people and are not generally available to **any** suitably qualified candidate. For example, where a course is only available to employees of particular companies, that course is closed.

Foundation degrees

7. Some home and EC students on foundation degrees should be returned as HEFCE-fundable, while others need to be reported as non-fundable. All should be separately identified on Table 6. A more detailed definition of a foundation degree can be found in Annex K, paragraph 13. Foundation degrees which fit the criteria in paragraph 4 above are HEFCE-fundable unless they fit **all** of the following criteria:

a. They are prototype foundation degree programmes which were awarded development funds in December 2000 and were listed in HEFCE 01/40 'Foundation degrees: report on funded projects', Annex B 'Summaries of prototypes'.

b. Their funding has been agreed separately, is in addition to the development funds and is shown in the grant tables in Table B, as issued on 30 July 2003 or as amended, against 'Funding for prototype foundation degree places'.

8. If they fit the criteria in (a) and (b) above, students should be returned as non-fundable. Where the funding provided (as shown in Table B of the grant tables under total recurrent funding for prototype foundation degrees) is insufficient to cover funding for all students, some students should be returned as fundable. There is a template on the HEFCE web-site – under Questions/HESES FAQs – which will calculate the funding associated with the students to help determine how many, if any, of the excess students should be returned as HEFCE-fundable.

Postgraduate research students

9. Postgraduate research students are returned on both HESES03 and the Research Activity Survey. In their first year (first and second year for part-time students), postgraduate research students who are fundable should be returned as such on HESES03. Fundable postgraduate research students in the second (third for part-time) and subsequent years of programme of study are not funded under our teaching funding method and should therefore be recorded as non-fundable on HESES03. However, these students should continue to be returned as fundable on the HESA record and included on the Research Activity Survey.

10. For the purposes of HESES03, research students cannot retake years. Where a student initially registers for an intermediate qualification such as an MPhil and then converts to a PhD, without being awarded the initial qualification, the year of programme of study should not be reset.

Determining the number of students supported from other EC public funds

11. The public funding should first be used to offset any shortfall between the fees charged and the assumed fees. Once this offset has taken place, any remaining public funding should be divided by the standard funding per student and rounded up to the nearest whole number to find how many students are non-fundable; the remainder are then fundable. The standard funding per student is calculated as the standard resource minus the assumed fee. Standard resource is explained in paragraphs 23-25 below. Note that, in the examples, the assumed fee per FTE for part-time undergraduates is £830.

12. There is an Excel template on the HEFCE web-site under Questions/HESES FAQs, which will calculate the number of students who are non-fundable in individual cases.

Example 1

13. There are 10 full-time undergraduate students supported by £11,250 from a public source. The students are not charged a fee and there is no other income. The assumed fees are £1,125 per student, so the public money only covers the fees and all students are fundable.

Example 2

14. There are 10 full-time undergraduates, all in price group C. The fees for each year are £1,125 paid by either the Student Loans Company (SLC), the student, or a mixture of the two. In addition, a public source puts in £1,000 per student. The assumed fees are fully met by the fees charged, so there is no offset. The standard funding per student is the standard resource (1.5 × £2,808 = £4,212) – assumed fee (£1,125) = £3,087. There is £10,000 additional public money (10 × £1,000). Therefore four students (£10,000 ÷ £3,087 = 3.2) are non-fundable, and the remaining six are fundable.

Example 3

15. There are 50 part-time undergraduate students in price group C, each with an FTE of 0.5, who pay £100 a year tuition fee, and there is £30,000 from a public source. The assumed fee for each student is 0.5 × £830 = £415. There is £315 (£415 – £100) per student in tuition fees to make up using the public money, which uses 50 × £315 = £15,750. This leaves £14,250 of the public money. The standard funding per student is the standard resource (0.5 × 1.5 × £2,808 = £2,106) – assumed fee (£415) = £1,691. Therefore nine students (£14,250 ÷ £1,691 = 8.4) are non-fundable, and 41 are fundable.

Example 4

16. As in example 3, but the fees are £500 a year all paid by the student. Each student pays a tuition fee which is greater than the assumed fee, so there are no tuition fees to make up using the public money. There is £30,000 public money and the standard funding per student is £1,691. Therefore 18 students (£30,000 ÷ £1,691 = 17.7) are non-fundable, and 32 are fundable.

Example 5

17. There are 10 full-time postgraduate students entirely in price group C. The fees for the year are £3,000; a public body pays half of the fee and the student pays the other half. The assumed fees are £2,940, which leaves £60 (£3,000 – £2,940) of public money per student. The standard funding per student is the standard resource (1.5 × £2,808 = £4,212) – assumed fee (£2,940) = £1,272. There is £600 additional public money (10 × £60). Therefore one student (£600 ÷ £1,272 = 0.5) is non-fundable, and the remaining nine are fundable.

HEFCE-funded and independently-funded students

18. All fundable students should be recorded as HEFCE-funded, unless the institution receives enough resources from other sources (other than EC public sources), for the year of programme of study, to cover the HEFCE standard resource for their provision. In such cases the institution may choose to record the student as independently-funded. Independently-funded students are not included in our resource calculations but may count towards student number targets.

Example 1

19. There are 20 HEFCE-fundable full-time postgraduate students, in price group C. Each student pays £4,500 tuition fees. The standard resource is (1.5 × £2,808) = £4,212. Therefore the standard resource is fully covered by the fee paid by the student. In this case, the institution can choose to record the students either as HEFCE-funded or as independently-funded.

Example 2

20. There are 20 HEFCE-fundable part-time postgraduate students, 0.6 FTE, in price group B. Each student pays £3,000 tuition fees. The assumed fee for each student is 0.6 × £2,808 = £1,684.80, which leaves £1,315.20 per student. The standard funding per student is the standard resource (0.6 × 2 × £2,808) – assumed fee (£1,684.80) = £1,684.80. There is 20 × £1,315.20 = £26,304 remaining from the fees paid by the students. Therefore, the college can choose to return up to 15 students (£26,304 ÷ £1,684.80 = 15.6) as independently-funded, with the remaining students returned as HEFCE-funded.

HEFCE non-fundable students

21. These are students who are home and EC, as defined in paragraphs 1-3, but whose place is not considered eligible for recurrent funding for teaching as defined in paragraphs 4-12 above.

Island and overseas students

22. All students who fall outside the definition of home and EC in paragraphs 1-3 should be recorded as 'Island and overseas'. This will include students usually resident in the Channel Islands and Isle of Man, and those students from countries expected to join the EC in the 2003-04 academic year.

Calculation of standard resource

23. If a student attracts a premium under the teaching funding method, the standard resource should be increased to reflect this. We notified institutions of these premiums in Table F of their funding agreement. For the current year, 2003-04, there is one student-related premium (long courses), and five institution-related premiums (London weighting, pensions, and variable premiums for specialist institutions, small institutions, and old and historic buildings). The total weighted student FTE is the sum of the subject-weighted FTE and the additional FTE from all premiums. Examples of the calculations are given in paragraphs 26-29 below.

Factor	Premium	Applied to
Long course (not price group A)	25%	Subject-weighted FTE
London (inner)	8%	Subject-weighted FTE
London (outer)	5%	Subject-weighted FTE
Pensions	1.5%	Subject-weighted FTE
Specialist institutions	Variable	Subject-weighted FTE
Small institutions	Variable	Unweighted FTE
Old and historic buildings	Variable	Unweighted FTE

24. The subject weights are shown below.

Price group	Subject weight
A (Clinical)	4.5
B (Laboratory-based science, engineering and technology)	2.0
C (Other high cost subjects with a studio, laboratory or fieldwork element)	1.5
D (All other subjects)	1.0
Psychology*	1.0 or 2.0
Media studies*	1.0, 1.5 or 2.0

* Proportions in each subject weight are notified in Table F of the funding agreement for each institution.

25. The 2003-04 standard resource for a student is calculated by multiplying the total weighted FTE by £2,808 (the base level of resource for price group D).

Example 1

26. The standard resource for a part-time student (0.4 FTE) in price group C is £1,684.80:

Subject weight	0.4 × 1.5	= 0.60
Resource		**= 0.60 × £2,808 = £1,684.80**

Example 2

27. The standard resource for a part-time student (0.3 FTE) on a long course in price group C is £1,579.50:

Subject weight	0.3 × 1.5	= 0.4500
Long course premium	0.3 × 1.5 × 25%	= 0.1125
Resource		**= 0.5625 × £2,808 = £1,579.50**

Example 3

28. The standard resource per FTE in price group B for a student at an institution receiving the inner London premium is £6,065.28:

Subject weight	1.0 × 2.0	= 2.00
Inner London premium	1.0 × 2.0 × 8%	= 0.16
Resource		**= 2.16 × £2,808 = £6,065.28**

Example 4

29. The standard resource of a full-time student who undertakes 60 per cent of their work in price group B and 40 per cent in price group D is £4,492.80:

Subject weight (price group B)	1.0 × 60% × 2.0 = 1.20
Subject weight (price group D)	1.0 × 40% × 1.0 = 0.40
Resource	**= 1.6 × £2,808 = £4,492.80**

Annex G

Price groups

1. Price groups are defined in terms of academic cost centres. Full details of how to assign departments to cost centres are in the forthcoming circular letter 'Assigning departments to academic cost centres: 2003-04'.

Cost centre	Price group(s)
01 Clinical medicine	A, B
02 Clinical dentistry	A, B
03 Veterinary science	A
04 Anatomy and physiology	B
05 Nursing and paramedical studies	C
06 Health and community studies	C
07 Psychology and behavioural sciences	Psychology
08 Pharmacy	B
09 Pharmacology	B
10 Biosciences	B
11 Chemistry	B
12 Physics	B
13 Agriculture and forestry	B
14 Earth, marine and environmental sciences	B
15 General sciences	Not used
16 General engineering	B
17 Chemical engineering	B
18 Mineral, metallurgy and materials engineering	B
19 Civil engineering	B
20 Electrical, electronic and computer engineering	B
21 Mechanical, aero and production engineering	B
22 Other technologies	Not used
23 Architecture, built environment and planning	C
24 Mathematics	C
25 Information technology and systems sciences	C
26 Catering and hospitality management	C
27 Business and management studies	D
28 Geography	C
29 Social studies	D
30 Librarianship, communication and media studies	Media studies
31 Language based studies	D
32 Humanities	D
33 Design and creative arts	C
34 Education	C, D
35 French, Spanish and German modern languages	C
36 Other modern languages	C

37 Archaeology	C
38 Sports science and leisure studies	C, D
39 Computer software engineering	B
41 Continuing education	D
99 Outside reporting institution	D

Price group	**Cost centres**
A	01*, 02*, 03
B	01*, 02*, 04, 08, 09, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, 21, 39
C	05, 06, 23, 24, 25, 26, 28, 33, 34*, 35, 36, 37, 38*
D	27, 29, 31, 32, 34*, 38*, 41, 99
Psychology	07
Media studies	30
ITT (QTS)	Courses of ITT leading to QTS (TTCID=1)[1]
INSET (QTS)	Courses for teachers (TTCID=3), where the student has QTS

* For definitions see below.

Cost centres in more than one price group

Clinical medicine and clinical dentistry – cost centres 01 and 02

2. Undergraduate years of programme of study recorded in price group A must be generated by clinical medical or clinical dental students. Years of programme of study for clinical medical or clinical dental undergraduate students should be entirely attributed to price group A, irrespective of any activity in academic cost centres. All other undergraduate load in cost centres 01 and 02 should be returned in price group B.

3. An undergraduate clinical medical student is any student on the final three years of a first registrable medical qualification taken:

a. After the pre-clinical part of the course.
b. After a free-standing pre-clinical course.
c. As part of an integrated pre-clinical and clinical course.

4. An undergraduate clinical dental student is any student on the final four years of a first registrable dental qualification taken:

a. After the pre-clinical part of the course.
b. After a free-standing pre-clinical course.
c. As part of an integrated pre-clinical and clinical course.

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[1] Teacher training course identifier on the HESA student record

5. In order to be included in price group A, clinical medical and clinical dental postgraduate taught students must also be on courses which meet the following three criteria:

a. The course bears very high costs comparable to the clinical unit of resource.
b. A substantial proportion of the staff teaching time contributed to the course is provided by medically or dentally qualified university-funded clinical academic staff, who hold honorary contracts with the NHS. This includes general practitioners.
c. The course is normally taught in a clinical environment.

6. For research students to be included in price group A, the focus of their research must be in a clinical environment and the lead supervisor should be a clinical academic.

7. Where, and only where, a postgraduate course meets the criteria set out above, the subject of qualification aim should be coded as clinical (A3 or A4) on the HESA student record.

8. All other postgraduate activity in cost centres 01 and 02 should be recorded in price group B.

Education – cost centre 34, ITT and INSET courses

9. Students on ITT (QTS) courses should be entirely attributed to the ITT (QTS) price group, irrespective of any provision in academic cost centres. Students on ITT courses that do not lead to QTS, such as postgraduate certificates in education (PGCEs) for the post-compulsory education sector (TTCID=2), should be entirely attributed to price group C, irrespective of any provision in academic cost centres.

10. Students holding QTS on INSET courses should be entirely attributed to the INSET (QTS) price group, irrespective of any provision in academic cost centres and whether or not the TTA is funding the course. Students on INSET courses who do not hold QTS should be attributed to price groups in the same way as other students. INSET courses are defined as courses for which the primary (but not necessarily the only) purpose is to improve the effectiveness of teachers, lecturers or trainers.

11. All other activity in cost centre 34 that is not ITT or INSET should be returned in price group D.

Sports science and leisure studies – cost centre 38

12. Departments of sports-related subjects – including sports science, sport and exercise sciences, sports and leisure studies, sports and leisure management, and physical recreation (non-QTS) – should be allocated to price group C where there is significant use of well-equipped sports science laboratories and/or sports facilities. A detailed definition of the threshold criteria can be found in HEFCE Circular Letter 38/98, 'Allocation of education and

sports-related provision to price bands'. All other sports-related departments should be returned in price group D.

Veterinary science

13. All, and only, veterinary science provision which leads to eligibility to register to practise as a veterinary surgeon should be entirely attributed to price group A, irrespective of any activity in academic cost centres.

Allocation of years of programme of study to price groups

14. Years of programme of study are split between cost centres, based on either the cost centres in the module portion of a student/module return made to HESA, or the cost centre information in fields 100 to 147 of a combined record. In either case this is referred to as the module portion.

15. Except where noted in paragraphs 2-13 above, years of programme of study should be allocated to price groups according to the mix of cost centres in which activity takes place. Student load is allocated to cost centres according to the cost centre of the member of staff teaching the module or supervising the activity. This will be described by the module portion in the HESA student record. Where the activity for a year of programme of study falls into more than one cost centre, and these cost centres do not fall entirely within one price group, the year should be split among the price groups according to the weights attached to the modules. Up to two decimal places may be used for this apportionment.

16. Where students are franchised-out for all or part of their provision, they should be returned in an academically cognate cost centre(s). For example, if an engineering student is taught business studies under a franchise arrangement, then the portion franchised-out should be returned under business and management studies. The provision franchised-out may not be naturally attributable to a cost centre in which the institution is usually active. In this case institutions should create a virtual cost centre in which this activity and its related expenditure are returned. If institutions return such activity using cost centre 99 on the HESA record it will be treated as if it falls into price group D.

17. Institutions should ensure that where a student's provision does not fall entirely within a single cost centre and subject pairing, this is clearly identified on the HESA student record. The HESA student record links subjects and cost centres to students – either through the subjects and cost centres associated with the modules attached to the student, or through a sequence of cost centre subject pairs where a combined record is submitted. In January 2004 we will compare the load returned to cost centres with both:

- the load returned on HESES and
- the HESA subject of study.

Example 1

18. An engineering student studies engineering in the engineering department and also studies some management in the business and management department. The cost centre of each department along with the subject studied is separately identified on the HESA student record. For HESES purposes this would be returned in price groups B and D.

Example 2

19. An engineering student studies engineering in the engineering department and also studies some management in the engineering department. The engineering department is split between two cost centres, one for its engineering provision, one for its management provision. Each cost centre and subject studied is identified separately on the HESA student record. For HESES purposes this would be returned in price groups B and D.

Example 3

20. An engineering student studies engineering in the engineering department and also studies some management in the engineering department. The department has only one cost centre as the management provision represents a very small proportion of its activity. Both subjects studied are identified separately on the HESA student record. For HESES purposes this would all be returned in price group B.

Annex H

Mode of study

Full-time and sandwich

1. A year of programme of study is counted as full-time and sandwich if it meets the following criteria:

   a. The student is normally required to attend the institution, or elsewhere, for periods amounting to at least 24 weeks within the year of programme of study; and during that time they are normally expected to undertake periods of study, tuition or work experience which amount to an average of at least 21 hours per week.

   b. A full-time fee is chargeable for the course for the year. These include:

      i. Regulated £1,125 for undergraduates, and students registered for a PGCE.

      ii. Regulated £550 for undergraduates on courses provided in conjunction with overseas institutions that are not SOCRATES/ERASMUS exchanges, where study at the institution is for less than 10 weeks.

      iii. Regulated £0 (nil) for undergraduates who are on full-year outgoing SOCRATES/ERASMUS exchanges.

   In some individual cases all or part of the fee may be waived.

2. This includes all full-time, sandwich, and language year abroad students, other than those falling within the definition of 'Full-time sandwich year-out' given below.

Full-time sandwich year-out

3. A year of programme of study is counted as sandwich year-out if it includes a period of work-based experience and it meets both the following criteria:

   a. The course falls within the definition of sandwich in Regulation 5(2) of the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200). (This includes language year abroad courses where the year abroad is spent working.)

   b. The fees are either those described in paragraphs (c) or (f) of Regulation 11(1) of the above regulations, or approximately half of the full-time fees that would be chargeable if the student were full-time.

Part-time

4. A year of programme of study is counted as part-time if it does not meet the requirements to be either full-time or full-time sandwich year-out.

5. In general, all students on a given course with a broadly similar pattern of activity, for a given year of programme of study, should be recorded as having the same mode.

6. In some cases a student's mode of study changes between years. For example,

the mode of a student on a full-time 18-month course would change from full-time in year one to part-time in year two, where the second year does not have 24 weeks of study. In this case the student's activity would be recorded as 'other full-time' in year two on the HESA record.

Students who change from full-time to part-time within a year of programme of study

7. Where it is already known that full-time students have changed or will change mode, within the year of programme of study, to become part-time students, the year of programme of study should be recorded as part-time only. Their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

8. For example, a student who starts off as full-time but is known to be changing to part-time in the second term of the year of programme of study, studying at the same rate as a part-time student with an FTE of 0.5 per year of programme of study, should be returned on the part-time table with an FTE of 0.67. This is made up of 0.33 for the first term and 0.5 ÷ 3 = 0.17 for each of the second and third terms = 0.67 in total for the year of programme of study. More guidance on assigning student load for part-time years of programme of study can be found in Annex E.

Annex I

Level of study

Undergraduate

1. Undergraduates are students studying towards a first degree (including foundation degree), HE certificate or diploma, or equivalent, or students registered for an institutional credit that can be counted towards one of these qualifications.

2. Table 5 collects data on undergraduates who are aiming for a qualification below degree level, such as those aiming for an HND, HNC, DipHE or CertEd. Table 6 collects data on undergraduates who are aiming for a foundation degree or are on a foundation degree bridging course. The undergraduate data on Table 7 are split between:

- students on courses below undergraduate degree level, plus those on foundation degrees and foundation degree bridging courses
- students on an undergraduate degree (not including foundation degrees and foundation degree bridging courses).

3. Where a student registers for credits (including Ufi courses) without stating a qualification aim, and where those credits may count towards either a degree or a qualification below degree level, they should be counted as below degree level.

Postgraduate

4. Postgraduate students are registered for courses or credits where a normal condition of entry is that entrants are already qualified to degree level, that is already qualified at level H of the Quality Assurance Agency for Higher Education (QAA) national qualifications framework. There are two groups: research and taught.

   a. Postgraduate research students are students whose qualification aim is a research-based higher degree. In accord with normal practice in the English higher education sector, a higher degree by research should be awarded primarily on the basis of a substantial thesis (or equivalent) submitted by the student and resulting from the student's original research. Regulations on the appointment of examiners for the degree should stipulate that the student's work is examined by at least two examiners appointed individually for the student, one of whom is an external examiner. An exception is allowed for departments that were highly rated in the 2001 Research Assessment Exercise, where it may be that the two best-qualified examiners are both internal. This definition is the same as that used in the Research Activity Survey.

   b. Postgraduate taught students are those who are postgraduates but do not meet the requirements to be a research student.

Annex J
Long years of programme of study

1. For full-time courses, the year of programme of study will be classified as 'long' if:

   a. Students are normally required to attend for 45 weeks or more within that year, or
   b. The year of programme of study includes a within-course short period of study, awarded as a summer school through an additional student numbers bidding exercise.

2. When determining length, students are deemed to be attending the institution if they are actively pursuing full-time studies towards the qualification aim. Years of programme of study that are not long are referred to as standard length.

3. If the year of programme of study is 45 weeks or more in length because of a period of work-based study, then the year of programme of study is not counted as long.

4. For part-time courses, the distinction will depend on the length of each year for an equivalent full-time course. The number of weeks attended within the year of programme of study for part-time students is irrelevant to determining if the year of programme of study is long. The equivalent full-time course used should be the same as that used in calculating the FTE.

5. For undergraduate students, long courses will typically be accelerated programmes where the qualification aim is achieved in a much shorter period than is normal for that qualification aim.

6. For postgraduate students, most long courses will be for higher degrees.

Example 1

7. A full-time one-year course has a 30-week year of programme of study; the equivalent part-time course lasts for two years, each with a 45-week year of programme of study. The part-time course would not be long. Conversely, if each year of the part-time course lasts for 30 weeks, but the year of programme of study for the full-time course is 45 weeks, then the part-time course is classified as long. The FTE for the part-time course would be 0.5 in both cases.

Example 2

8. A student completes a two-year full-time foundation degree, and then chooses to undertake a foundation degree bridging course over the summer in order to enrol full-time on the third year of an honours degree. In this case both years of the foundation degree and the third year of the honours degree should be recorded as standard length; and the foundation degree bridging course should be recorded separately as a stand-alone part-time course. The FTE would be 1, 1, 0.3 and 1 respectively.

Mixed length courses

9. In some cases a full-time course may have one or more years of programme of study which are long, with one or more standard length years. When determining which load to return as long for the equivalent part-time course, the following two principles should be applied:

a. The FTE over the entire course should be identical to that of the full-time course.

b. The proportion of the FTE recorded as long should be the same on both the full-time and part-time programmes.

Example 1

10. A two-year full-time course has year one long and year two standard length. The equivalent part-time course runs over four years. The first two years of the part-time course should be recorded as long, with the remaining two recorded as standard length. The FTE would be 0.5 in each of the four years.

Example 2

11. A two-year full-time course has year one long and year two standard length. The equivalent part-time course lasts two and a half years. If the FTE is 0.8, 0.8 and 0.4 respectively in each year, then the second principle in paragraph 9 above means that 50 per cent of the FTE should be recorded as long. This can be achieved by recording all first year load as long, and half of the final year as long, with the remaining year recorded as standard length.

Annex K

Table descriptions

Tables 1a, 2 and 3 – Counts of years of programme of study and student load

1. Tables 1a, 2 and 3 correspond to the three modes of study defined in Annex H. These tables are mutually exclusive, and taken together should sum to the total number of years of programme of study countable for the academic year.

Table 1b – Medical and dental student counts

2. Table 1b is a subset of Table 1a and contains all full-time undergraduate students on programmes of study that normally lead to a first registrable medical or dental qualification. Years of programme of study returned in this table should also be included in Table 1a.

3. Years of programme of study should be classified according to which year of the course they are. Intercalated years should not be returned on this table and should be disregarded when determining the year of programme of study of a medical or dental course. Where a student studies for an integrated first degree and first registrable medical or dental qualification, the study towards the first degree should be treated as falling entirely in the pre-clinical years.

4. Pre-clinical medicine: all years of programme of study that are not classified as clinical medicine and are not an intercalated year.

5. Clinical medicine: the final three years of programme of study of a course leading to a first registrable medical qualification.

6. Pre-clinical dentistry: all years of programme of study that are not classified as clinical dentistry and are not an intercalated year.

7. Clinical dentistry: the final four years of programme of study of a course leading to a first registrable dental qualification.

8. The treatment of medical and dental students on HESES does not necessarily reflect how the programme is delivered.

Table 4 – Home and EC fees

9. The data returned in Table 4 must match the home and EC data returned in Columns 1 and 2 of Tables 1a, 2 and 3. Table 4 contains the number of years of programme of study for all modes, split between those countable on or before 1 December 2003, and those expected to become countable between 2 December 2003 and 31 July 2004, for home and EC students only. Island and overseas students should **not** be returned on Table 4.

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Table 5 – Counts of years of programme of study for provision leading to qualifications below degree level

10. The data returned in Table 5 are a subset of the undergraduate data collected in Columns 1 and 2 of Tables 1a, 2 and 3. Table 5 contains the number of years of programme of study for all modes, split between those countable on or before 1 December 2003, and those expected to become countable between 2 December 2003 and 31 July 2004, for provision for qualifications below degree level. Foundation degrees and foundation degree bridging courses should not be returned in this table, but in Table 6.

11. Provision below degree level includes HND, HNC, DipHE and CertEd courses. Where a student registers for credits (including Ufi courses) without stating a qualification aim, and where those credits may count towards either a degree or a qualification below degree level, they should be counted on this table.

Table 6 – Counts of years of programme of study and student load for foundation degrees and foundation degree bridging courses

12. The counts of years of programme of study returned in Table 6 are a subset of the undergraduate data collected in Columns 1, 2 and 5 of Tables 1a and 3. Table 6 contains the number of years of programme of study for all modes and load for part-time students, split between those countable on or before 1 December 2003, and those expected to become countable between 2 December 2003 and 31 July 2004, for students on foundation degrees and foundation degree bridging courses.

13. Students should only be recorded with a qualification aim of a prototype or non-prototype foundation degree if they are on a two-year full-time HE course, or the part-time equivalent, which has been validated by an HEI as a 'foundation degree'. Institutions are expected to have incorporated the core features set out in the foundation degree prospectus, HEFCE 00/27. Prototype foundation degrees are those programmes which were awarded development funds in December 2000 and are listed in Annex B of HEFCE 01/40. All other foundation degrees should be returned as non-prototype. See Annex F, paragraphs 7 and 8, for information about the fundability status of foundation degrees.

14. Students should only be recorded against a bridging course if they aim to complete a foundation degree bridging course that is countable for 2003-04. Foundation degree bridging courses are taken after completing a foundation degree to enable students to join the final year of an honours degree. A description of foundation degree bridging courses is in Annex D, paragraphs 30 and 31.

Table 7 – Counts of years of programme of study split between home and others entitled to pay home and EC fees (both HEFCE-fundable and non-fundable)

15. The counts of years of programme of study in Table 7 are the same as those collected in Columns 1, 2 and 5 of Tables 1a, 2 and 3. Table 7 contains the number of years of programme of study for all modes, split between home students and other students entitled

to pay home and EC fees. Home students are defined by the DOMICILE field on the HESA student record (that is, codes 5826, 6826, 7826 and 8826 for England, Wales, Scotland and Northern Ireland respectively). The data for EC students, when added to the home data, should give the totals of all home and EC students returned in Columns 1, 2 and 5 of Tables 1a, 2 and 3. Both HEFCE-fundable and non-fundable data are required in this table, but not island and overseas data.

16. The levels of qualification are grouped differently in this table than in the others. Students on foundation degrees and foundation degree bridging courses should be included in 'below UG degree level', not in 'UG degree'.

Annex L

Description of columns in tables

1. All numbers returned on all tables should be counts of years of programme of study **apart** from where FTEs are required (in Column 4a on Table 3 and where explicitly identified on Table 6).

Tables 1a, 1b, 2 and 3 – Counts of years of programme of study and student load

2. Column 1: Number of years of programme of study countable between 1 August 2003 and 1 December 2003 inclusive. If a year of programme of study has been classified as a non-completion, as defined in Annex D, on or before 1 December 2003, it should not be returned.

3. Column 2: Number of years of programme of study expected to become countable between 2 December 2003 and 31 July 2004 inclusive. Guidance on when years of programme of study become countable is given in Annex D.

4. Column 3: Number of years of programme of study which students will fail to complete after 1 December 2003. This is an estimate of the number of years of programme of study that have been returned in Columns 1 and 2 but will not be completed – according to the definition given in Annex D. Numbers of non-completions should be entered as negative values in the workbook. Institutions should ensure that these estimates are supported by historical data. See Annex R for details about common errors made in the estimation of non-completions, discovered as part of our audit of HESES02.

5. Column 4: Overall assumed completed years of programme of study for the academic year. This is the sum of the first three columns; the addition will be carried out automatically in the workbook. This is an estimate of the number of years of programme of study which will be undertaken and completed in the academic year.

6. Column 4a (Table 3 only): Assumed load for the academic year. This is the sum of the FTE for the years of programme of study returned in Column 4.

7. Column 5: Number of new entrants. This is all years of programme of study returned in Columns 1 and 2 which are the first year of a course. A definition of new entrants is included in Annex D.

8. Column 6: Number of years of programme of study returned in Columns 1 and 2 for home and EC fundable students who are wholly or partially franchised-out, or who are part of a HEFCE-recognised funding consortium where the institution is the lead institution (see Annex B), broken down by the type of institution involved in the arrangement. Students should only be recorded as franchised-out to 'Other inst' where we have given approval for the franchising arrangement for the specific programme of study. The student count, and not the proportion of the year of study franchised, should be returned where the student is partially franchised-out.

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9. When determining whether a student is wholly or partially franchised-out, the franchise arrangement for the year of programme of study and not the whole course should be used. For example, a student on a two-year course, which is franchised-out for the whole of the first year only, would be returned as wholly franchised-out for the first year and not included in the franchised-out column in the second year. A student on a two-year course who is franchised-out for six months in each of the two years would be returned as partially franchised-out in each of the two years.

10. The number of countable years returned for students who are part of a consortium should only be for HEFCE-recognised funding consortia, defined in Annex B, paragraphs 14 and 15. All other collaborative arrangements should be returned as franchises.

Table 4 – Home and EC student fees

11. Table 4 collects information about tuition fees for home and EC students included within Columns 1 and 2 of Tables 1a, 2 and 3. In general, fee levels are an attribute of the course, not of the individual student. This means, for example, that a student who is on a course designated for student support purposes, but who is not personally eligible for a grant for fees payable by the SLC, should still be returned against the appropriate regulated fees category. Students on pre-registration courses for which an NHS bursary may be payable, those on outgoing SOCRATES/ERASMUS full-year exchanges, and students on foundation degree bridging courses, should be identified separately.

12. Regulated fees are those defined in Regulation 11 of the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200). They can be found on the HMSO web-site – www.hmso.gov.uk, under Legislation/United Kingdom/Statutory Instruments. In general, the fees are:

a. Regulated £1,125 – full-time and sandwich undergraduate courses (where the student is not on their year-out) and full-time PGCE courses.
b. Regulated £550 – undergraduates following full-time and sandwich courses who are on their sandwich year-out, students on a non-SOCRATES/ERASMUS study-related year abroad, and part-time ITT courses.
c. Regulated £0 (nil) – outgoing SOCRATES/ERASMUS full-year exchange students only.

Also identified separately on Table 4:

d. NHS bursaried courses – students on pre-registration courses for which an NHS bursary may be payable.
e. Foundation degree bridging courses – students on a foundation degree bridging course.

13. Years of programme of study should be returned under the fee level 'Non-regulated' where the course the student is studying for is not designated under Regulation 5 of the Education (Student Support) Regulations.

Part-time or postgraduate students subject to regulated fees

14. The only part-time students who should be recorded as being subject to regulated fees are those:

a. On part-time ITT courses, such as first degrees leading to QTS, PGCEs and CertEds.
b. Attending the final year of a designated course which is ordinarily completed in less than 15 weeks.
c. Attending the final year of a designated course which is ordinarily completed in 15 weeks or more but less than 24 weeks.

In cases b and c, the students should be recorded as subject to regulated £550 fees and regulated £1,125 fees respectively.

15. Part VIII of the Education (Student Support) (No. 2) Regulations 2002 makes provision for the support of students attending 'designated part-time courses' of HE, through a £500 loan. Students on such part-time courses should still be returned under 'non-regulated' fees, as these courses are not explicitly designated under Regulation 5.

16. The only postgraduate students who should be recorded as being subject to regulated fees are those:

a. On a full-time or part-time PGCE. Such students should be recorded as subject to the regulated £1,125 or regulated £550 fees, respectively.
b. On a full-time course in preparation for a professional examination at postgraduate level, for which a first degree is not a normal requirement for entry. This applies to students on a course leading successively to Parts 1 and 2 of the Royal Institute of British Architects examination, for whom undergraduate level fees are payable. Such students should be recorded as subject to regulated £1,125 fees.

17. Column 1: Number of years of programme of study for home and EC students countable between 1 August 2003 and 1 December 2003 inclusive. The column is broken down by mode of study as defined in Annex H.

18. Column 2: Forecast of number of years of programme of study for home and EC students expected to become countable between 2 December 2003 and 31 July 2004 inclusive. The column is broken down by mode of study as defined in Annex H.

Table 5 – Counts of years of programme of study for provision leading to qualifications below degree level

19. Only counts of years of programme of study which are for provision leading to qualifications below degree level should be recorded here. These are described in more detail below. Foundation degrees and foundation degree bridging courses should be recorded in Table 6, not Table 5.

20. Qualifications below degree level include HNDs, HNCs, DipHEs and CertEds. HNDs and HNCs should be returned against the appropriate row on the table. All other qualifications below degree level should be included in 'Other'. Apart from DipHEs and CertEds, 'Other' qualifications below degree level will include institutional credits and professional qualifications.

21. Column 1: Number of years of programme of study countable between 1 August 2003 and 1 December 2003 inclusive. This is a subset of the undergraduate data included in Column 1 of Tables 1a, 2 and 3. The column is broken down by mode of study as defined in Annex H.

22. Column 2: Forecast of number of years of programme of study expected to become countable between 2 December 2003 and 31 July 2004 inclusive. This is a subset of the undergraduate data included in Column 2 of Tables 1a, 2 and 3. The column is broken down by mode of study as defined in Annex H.

Table 6 – Counts of years of programme of study and student load for foundation degrees and foundation degree bridging courses

23. Only counts of years of programme of study and student load which are for provision leading to a foundation degree or foundation degree bridging course should be recorded here. These are explained in more detail below.

Foundation degrees

24. Foundation degrees are split into prototype and non-prototype foundation degrees. Prototype foundation degrees are programmes which were awarded development funds in December 2000 and are listed in Annex B of HEFCE 01/40. Details of the fundability status of prototype and non-prototype foundation degrees can be found in Annex F, paragraphs 7 and 8.

Foundation degree bridging courses

25. Foundation degree bridging courses are part-time stand-alone courses which are taken after a foundation degree is completed, in order to proceed on to the third year of an honours degree course. See Annex D, paragraphs 30 and 31.

26. Column 1: Number of full-time and sandwich and part-time years of programme of study and part-time student load countable between 1 August 2003 and 31 July 2004 inclusive. The years of programme of study are a subset of the undergraduate data included in Columns 1 and 2 of Tables 1a and 3.

27. Column 2: Number of full-time and sandwich and part-time years of programme of study and part-time student load of new entrants, defined as those who are on the first year of a course (see Annex D). These are subsets of the years of programme of study and student load returned in Column 1 of this table. The years of programme of study are also a subset of those of the undergraduate new entrants included in Column 5 of Tables 1a and 3.

28. The student load should reflect the total student load for the years of programme of study in this table, even where the student does not complete all of the year; that is, it should not be reduced to reflect non-completions. This differs from the student loads returned in Column 4a of Table 3.

Table 7 – Counts of years of programme of study split between home and others entitled to pay home and EC fees (both HEFCE-fundable and non-fundable)

29. Column 1: Years of programme of study countable between 1 August 2003 and 31 July 2004 inclusive (both HEFCE-fundable and non-fundable). These data are split by mode, then between home students and others entitled to pay home and EC fees. A definition of home students is in Annex K, paragraph 15. In total these data are the same as the home and EC data returned in Columns 1 and 2 of Tables 1a, 2 and 3.

30. Column 2: New entrants included in Column 1 of this table, defined as those who are on the first year of a course (see Annex D). These data are split by mode, then between home students and others entitled to pay home and EC fees. In total these data are the same as the home and EC data returned in Column 5 of Tables 1a, 2 and 3.

31. The levels of qualification are grouped differently in this table than in the others; namely, those on foundation degrees and foundation degree bridging courses should be included in 'below UG degree level', not in 'UG degree'.

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Annex M

Links between HESA and HESES data

1. It is not possible to derive all HESES data directly from the HESA student record. The most recent mapping can be found in Annex C of HEFCE 2003/39 'Guide to the HESES02 re-creation web facility'. We do not anticipate changing this mapping substantially for comparisons with HESES03. However, as a result of a change introduced for HESES03, a number of minor amendments detailed below will be made.

2. In re-creating HESES03 for monitoring purposes for institutions that are the lead of a HEFCE-recognised funding consortium, we will source information for students registered at FECs from the LSC's ILR. The most recent mapping from ILR to HEIFES data is contained in Annex M of HEIFES02 (HEFCE 2002/41). Details of changes to this mapping are included in HEIFES03 (HEFCE 2003/45).

Updates to the mapping since HEFCE 2003/39

Dates

3. With the exception of references to 1998, when linking data between years all date-based calculations detailed in HEFCE 2003/39 will be rolled forward by one calendar year.

PRGA and PRGB

4. Clinical medicine, dentistry and veterinary science will be assigned to price groups as follows:

Field	Value	Description	Definition
PRGA	1	Clinical medicine	FUNDLEV = 10, 11 and QUALAIM = 18 and REGBODY = 01, 02 and CRSELGTH - YEARPRG = 0, 1, 2
PRGA	1	Clinical dentistry	FUNDLEV = 10, 11 and QUALAIM = 18 and REGBODY = 01, 02 and CRSELGTH - YEARPRG = 0, 1, 2, 3
PRGA	1	Veterinary science	QUALAIM = 18 and REGBODY = 14

Annex N

Validation checks

1. A number of validation checks are built into the Excel workbook. Validation cells above each column in each table in the workbook return **Validation: OK** if the data have passed validation. If data in a table fail validation, a message describing the error will be displayed below the table and the value(s) in the cell(s) causing the error(s) will turn red.

Tables 1a, 1b, 2 and 3

2. For each column, the total for each level (excluding the ITT (QTS) and INSET (QTS) price groups) must be a whole number (except for Column 4a on Table 3).

3. For each column, the ITT (QTS) and INSET (QTS) cells, where present, must contain whole numbers (except for Column 4a on Table 3).

4. For all cells except cells in Column 3, the value ≥ 0.

5. For all cells, Column 3 ≤ 0.

6. For each row, Column 5 ≤ Columns 1 + 2.

7. For Tables 1a, 2 and 3 only – for each row, Column 6 ≤ Column 1 ((a) + (b)) + Column 2 ((a) + (b)).

8. For Table 3 only – for each row, Column 4a ≤ Column 4.

9. For Table 3 only – for each row, Column 4a ÷ Column 4 ≥ 0.03.

10. For Table 1b only, all columns (clinical medicine + clinical dentistry) ≤ Columns 1 to 5 (price group A, undergraduate) on Table 1a.

11. For all cells, the value entered must be to no more than two decimal places.

Table 4

12. Each cell must contain a whole number.

13. For each level, excluding the ITT (QTS) price group, the total should equal the total in Tables 1a, 2 or 3 as follows:

Table 4		**Table 1a**
Column 1 (a)(i)	=	Column 1 (a) + (b)
Column 1 (a)(ii)	=	Column 1 (c)
Column 2 (a)(i)	=	Column 2 (a) + (b)
Column 2 (a)(ii)	=	Column 2 (c)
		Table 2
Column 1 (b)(i)	=	Column 1 (a) + (b)
Column 1 (b)(ii)	=	Column 1 (c)
Column 2 (b)(i)	=	Column 2 (a) + (b)
Column 2 (b)(ii)	=	Column 2 (c)
		Table 3
Column 1 (c)(i)	=	Column 1 (a) + (b)
Column 1 (c)(ii)	=	Column 1 (c)
Column 2 (c)(i)	=	Column 2 (a) + (b)
Column 2 (c)(ii)	=	Column 2 (c)

14. For each level, for the ITT (QTS) price group, the total should equal the total in Tables 1a or 3 as follows:

Table 4		**Table 1a**
Column 1 (a)(ii)	=	Column 1 (c)
Column 2 (a)(ii)	=	Column 2 (c)
		Table 3
Column 1 (c)(ii)	=	Column 1 (c)
Column 2 (c)(ii)	=	Column 2 (c)

Table 5

15. For each column, the total for each qualification aim (excluding the INSET (QTS) price group) must be a whole number.

16. For each column, the cells in the INSET (QTS) price group must contain whole numbers.

17. For each column and price group, the total should be less than or equal to the total for undergraduate level (standard length + long length) in Tables 1a, 2 or 3 as follows:

Table 5		**Table 1a**
Column 1(a) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(a) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)
		Table 2
Column 1(b) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(b) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)
		Table 3
Column 1(c) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(c) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)

18. For all cells, the value entered must be to no more than two decimal places.

19. For all cells, the value ≥ 0.

20. For each column, the combined total by price group of the corresponding cells in Tables 5 and 6 should be less than or equal to the equivalent cells in Tables 1a or 3 as follows:

Tables 5+6		**Table 1a**
Table 5, Column 1(a) – (i)+(ii), (iii), (iv) plus Column 2(a) - (i)+(ii), (iii), (iv) plus Table 6 Column 1(a) – (i), (ii), (iii)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
		Table 3
Table 5, Column 1(c) – (i)+(ii), (iii), (iv) plus Column 2(c) - (i)+(ii), (iii), (iv) plus Table 6 Column 1(b) – (i), (ii), (iii) (student numbers only)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)

Table 6

21. For each column and level, the total must be a whole number.

22. Each cell in Column 2 must be less than or equal to the equivalent cell in Column 1.

23. The total student numbers returned against 'bridging course' in Column 1, for home and EC students only, should be equal to the total returned against 'foundation degree bridging course' in Columns 1 and 2 of Table 4.

24. For all cells, the value ≥ 0.

25. For each column and price group, the total for each programme by level should be less than or equal to the total by level (standard length + long length) in Tables 1a or 3 as follows:

Table 6		**Table 1a**
Column 1(a) – (i), (ii), (iii)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 2(a) – (i), (ii), (iii)	≤	Column 5 – (a)+(b), (c), (d)
		Table 3
Column 1(b) – (i), (ii), (iii) (student numbers only)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 2(b) – (i), (ii), (iii) (student numbers only)	≤	Column 5 – (a)+(b), (c), (d)

26. For all cells, the value entered must be to no more than two decimal places.

27. For each column, the combined total by price group of the corresponding cells in Tables 5 and 6 should be less than or equal to the equivalent undergraduate cells in Tables 1a or 3, as in paragraph 20 above.

28. For each row, Column 1 (b) FTE ÷ Column 1 (b) student numbers ≥ 0.03.

29. For each row, Column 2 (b) FTE ÷ Column 2 (b) student numbers ≥ 0.03.

Table 7

30. For all cells, the value entered must be a whole number.

31. Each cell in Column 2 must be less than or equal to the equivalent cell in Column 1.

32. For Column 1(a), the totals for 'home' and 'other' together for 'below UG degree level' should be greater than or equal to the corresponding home and EC totals from Columns 1 and 2 of Table 5 and Column 1 of Table 6.

33. For Column 1(b), the totals for 'home' and 'other' together for 'below UG degree level' should be equal to the corresponding home and EC totals from Columns 1 and 2 of Table 5 and Column 1 of Table 6.

34. For both Columns 1 and 2, the totals for 'home' and 'other' together for 'below UG degree' and 'UG degree' together should be equal to the corresponding undergraduate home and EC totals from Columns 1, 2 and 5 of Tables 1a, 2 and 3.

35. For both Columns 1 and 2, the totals for 'home' and 'other' together for PGT and PGR should be equal to the corresponding home and EC totals from Columns 1, 2 and 5 of Tables 1a, 2 and 3.

36. For all cells, the value ≥ 0.

Annex O
Workbook notes

1. Workbooks with spreadsheet versions of the tables in Annex P will be available for download by institutions in November 2003. Vice-chancellors and HESES contacts will be issued with an organisation key (unique to your organisation) and a HESES03 group key (unique to the HESES03 survey) in November to access the workbook through a secure web-site, https://extranet.hefce.ac.uk. This year, for the first time, institutions will upload the completed workbook to the same web-site.

2. On viewing the welcome screen you will be asked to log in or register for access to the site. The first time that you visit, you must register. This involves typing in your e-mail address, your organisation key, your HESES03 group key and setting a password (at least 6 characters long). Whenever you visit the site after registration, you will only need to enter your e-mail address and password. Full details on how to use the site, your organisation and HESES03 keys, will be issued to vice-chancellors and HESES contacts in November.

3. You can then download the blank HESES03 template, and save it somewhere on your system (the template cannot be completed online).

4. The workbook will be saved in Excel 97 format and called HES___.xls, where the suffix identifies the institution. The workbook will contain eight worksheets, each with the same suffix as the workbook. These are as follows:

Name of worksheet	HESES03 tables
FTS____	Full-time and sandwich data. Table 1a.
MED____	Full-time and sandwich: Medical and dental student data. Table 1b.
OUT____	Sandwich year-out data. Table 2.
PT____	Part-time data. Table 3.
FEE____	Home and EC fees data. Table 4.
SUB____	Data on qualifications below degree level. Table 5.
FD____	Data on foundation degrees and foundation degree bridging courses. Table 6.
HEC____	Separate data on home and EC students. Table 7.

5. All labels and table formats will be protected. Institutions must not attempt to alter the format of the worksheets by adding or deleting columns or rows. Only cells where data are required should be altered. Worksheets contain information critical to accurate loading of the data; it is essential that this is preserved.

6. The following cells contain formulae, and must not be edited:

- column totals on all tables
- totals by level on Tables 1a, 2, 3, 4 and 7
- totals by qualification aim on Tables 5 and 6
- cells relating to the FTE of foundation degree bridging courses on Table 6
- Column 4 on Tables 1a, 1b, 2 and 3.

7. Each worksheet contains a number of validation checks, which are listed in Annex N. Institutions should ensure their data pass all validation checks before uploading them.

8. All worksheets returned should have the same name and format as those originally supplied. All worksheets in the workbook should be returned even if they contain no data.

9. Completed returns should be uploaded to the secure web-site no later than Tuesday 9 December 2003. We will confirm receipt of all submissions.

Annex P

Sample tables (see separate download)

Annex Q

HESES03 fundamentals

1. This annex is a summary of the HESES guidance and should be used in conjunction with the other annexes.

Which students are in the HESES population?

2. A definition of the HESES population is given in Annex B. The population includes students who meet **all** of the following criteria:

   a. They are actively pursuing studies with the institution for at least part of the academic year 2002-03. This includes outgoing exchange students.

   b. They are studying towards a recognised HE qualification aim, or a credit that can be counted towards one.

   c. They have an individual record returned on the HESA student record or the LSC ILR.

   d. They are not being returned on any other institution's HESES or HEIFES return for that year of programme of study.

3. Students spending most of their time for the whole course outside the UK should not generally be included in the population.

Are they countable on this year's HESES?

4. A year of programme of study for a student within the HESES03 student population must meet the following criteria to be counted:

   a. A tuition fee is charged (the fee may be waived).

   b. The FTE for the year of programme of study is at least 0.03.

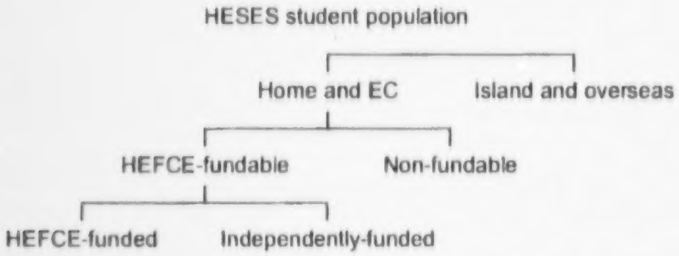
   c. The student is not writing-up for the whole of the year of programme of study.

5. When a year of programme of study becomes countable depends on how the FTE is returned to HESA. Activity for a year of programme of study can either fall within one academic year or span two academic years. Where the activity spans two academic years, the FTE can be reported to HESA either in the academic year in which study begins, or the academic year in which it ends, or be split across two academic years. Where the activity is within one academic year or reported in the academic year in which study begins, years of programme of study should be counted in HESES on the commencement date and its anniversary. Where the activity is split or reported in the academic year in which study ends, years of programme of study should be counted in HESES on 1 August of each academic year in which activity occurs, except the first. This is explained in more detail in Annex D.

What is their fundability status?

6. Annex F provides the strict definitions on residential and fundability status. In HESES, students are disaggregated between home and EC, and island and overseas. Home and EC students are then disaggregated between HEFCE-fundable and non-fundable. HEFCE-

fundable students are then further disaggregated between HEFCE-funded and independently-funded. This hierarchy is shown in the diagram below.



Home and EC; island and overseas

7. Island and overseas students are generally those from the Channel Islands or the Isle of Man or from outside the EC. They are not included in any of our funding allocations or student number targets for 2003-04. Students who are not island and overseas are home and EC.

HEFCE-fundable; non-fundable

8. The three main categories of home and EC non-fundable students are those who are:

a. Funded from another EC public source: for example, the Department of Health, the Modern Apprenticeship scheme or the TTA, or from European grants such as the European Social Fund (ESF). In some cases, where the public funding does not cover HEFCE standard resource rates, a proportion of the students on the course may be returned as fundable, as long as the students are not excluded for other reasons – see paragraphs 6a, 6c and 6d of Annex F.
b. On closed courses, which are not open to any suitably qualified candidate. This will cover, for example, courses which are provided solely for the employees of particular companies.
c. On courses which are franchised-out to an organisation which is neither an HEI nor an FEC, unless we have given specific approval to include them as fundable.

9. Non-fundable students are only included in our calculation of average fee rates per student FTE; these rates are used to inform assumed resource. Home and EC students who do not meet the definition of non-fundable are HEFCE-fundable.

HEFCE-funded; independently-funded

10. Institutions may choose to record home and EC HEFCE-fundable students as independently-funded, if they receive sufficient funding from non-public sources to cover the HEFCE standard resource level for the particular category of student. Independently-funded

students are not included in our calculations of standard and assumed resource, but do still count towards FTE targets for funding conditional upon delivery of growth. In general, the declaration of eligible students as independently-funded will only benefit institutions that are currently under-resourced from public funds (below the ±5 per cent tolerance band around standard resource), as an aid to migration to within the band. Home and EC-fundable students who the institution chooses not to record as independently-funded are HEFCE-funded.

Is the qualification aim a recognised HE qualification?

11. Recognised HE qualifications are those defined in paragraph 1 of Schedule 6 of the Education Reform Act 1988. NVQs and free-standing foundation years are not included. See Annex C.

What is considered a non-completion?

12. A student who fails to complete (that is, undergo the final assessment of, or pass) any module within the year of programme of study is to be returned as a non-completion for all activity in that year. See Annex D, paragraphs 14-21.

How are students classified into mode?

13. Students are classified into either full-time and sandwich, sandwich year-out or part-time according to the definitions in Annex H. Students following the same course with the same pattern of activity should generally be returned with the same mode.

a. Full-time and sandwich students will be on a course where they are usually required to attend for at least 24 weeks, 21 hours a week, for the year of programme of study; and a full-time fee is chargeable for the year (even if it is waived).

b. Sandwich year-out students are those on sandwich courses, as defined in Regulation 5 of the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200), who are on their year out.

c. Part-time students are all other students. Note that this includes HNC students who are expected to complete in one year, but whose course is not subject to regulated fees.

How are students classified into level?

14. Undergraduates are students studying for a first degree (including foundation degree), HE certificate or diploma. Provision below degree level includes HNDs, HNCs, DipHEs and CertEds. Postgraduate qualifications (including higher degrees and PGCEs) are those where the normal condition of entry is a qualification at degree level (that is, already qualified to level H of the QAA national qualifications framework). Postgraduates are split into postgraduate research students and postgraduate taught students – a definition can be found in Annex I, paragraph 4.

What counts as a long year of programme of study?

15. For full-time courses, the year of programme of study is returned as long if:

a. The students are normally required to attend for 45 weeks or more within that year of programme of study, or

b. The year of programme of study includes a within-course short period of study, awarded as a summer school through an additional student numbers bidding exercise and explicitly notified by HEFCE.

16. For part-time courses, the distinction depends on the length of each year for an equivalent full-time course. See Annex J.

Which price group should the student be returned under?

17. Price groups are defined in terms of academic cost centres. A mapping from cost centre to price group can be found in Annex G, paragraph 1. Some cost centres are in more than one price group – these are described in paragraphs 2-12 of Annex G. Where the activity for a year of programme of study falls into more than one cost centre, and these cost centres do not fall entirely within one price group, then the year should be split between price groups. Students on ITT (QTS) courses and INSET (QTS) courses should be attributed to the ITT (QTS) and INSET (QTS) price groups respectively, regardless of any provision in cost centres.

How should years of programme of study be returned on Table 4, the fee table?

18. Generally, full-time undergraduates (including those aiming for a qualification below degree level) and PGCEs are subject to the regulated £1,125 fee, and part-time ITT students, sandwich year-out students and language year abroad students are subject to the regulated £550 fee. Only full-year outgoing exchange students on SOCRATES/ERASMUS exchanges should be returned with a regulated fee of £0. Most postgraduates and part-time students are not subject to regulated fees and should be returned with a fee level of 'Non-regulated', regardless of what they actually pay. See Annex L, paragraphs 11-16.

How is the FTE calculated for part-time students?

19. FTE is calculated by comparing either the duration of the course or the credit points studied with an equivalent full-time course, or if such a course does not exist, a similar full-time course. The total FTE per student for a part-time course should equal the total FTE per student for an equivalent full-time course.

Which tables should be completed?

20. All full-time students should be returned on Table 1a, the full-time table, whatever HE level they are studying at. Similarly, all sandwich year-out and all part-time students should be returned on Tables 2 and 3 respectively.

21. Table 1b should be completed if the institution has full-time undergraduate medical and dental students. These are students on programmes of study that normally lead to a first registrable medical or dental qualification. The students returned here are a subset of the undergraduates returned on Table 1a. See Annex K.

22. All home and EC students returned in Columns 1 and 2 of Tables 1a, 2 and 3 should also be returned on the fee table, Table 4, even if every student is recorded as having a fee level of 'Non-regulated'. Island and overseas students should **not** be included in Table 4.

23. Table 5 should be completed if the institution has students studying for qualifications below degree level, and should contain a subset of the undergraduate students returned in Columns 1 and 2 of Tables 1a, 2 and 3.

24. Table 6 should be completed if the institution has students studying on foundation degrees and foundation degree bridging courses, and should contain a subset of the students returned in Columns 1, 2 and 5 of Tables 1a and 3.

25. All home and EC students returned in Columns 1, 2 and 5 of Tables 1a, 2 and 3 should also be returned on Table 7, split between home students (those domiciled in the UK) and others.

When the tables have been completed

26. Each worksheet contains a number of validation checks. If an error or inconsistency is detected in a worksheet once it has been completed, a message reading **Validation: Failure (see below table)** will appear above the column in the table in which there is a validation failure, and the value in the cell which is causing the error will turn red. Below the table, the error will be described in more detail. These errors must be corrected before submitting the tables to HEFCE. If the error cannot be identified, institutions should e-mail us at heses@hefce.ac.uk. The validation checks are described in more detail in Annex N.

Annex R

Audit of HESES02

1. For HESES02 we are auditing 21 institutions and following up previous audits at a further three institutions. At the time of preparing this publication, not all the audits had been undertaken. The completed audits highlighted areas in which some institutions were incorrectly interpreting the HESES guidance, or where internal institutional systems and practices did not facilitate the production of the HESES return. The findings included:

- lack of robustness in the estimation of non-completions
- lack of robustness in the estimation of forecast countable years
- incorrect assignment of departments to cost centres
- incorrect apportionment of student load to cost centres, where a course is in more than one cost centre
- incorrect calculation of part-time load factors
- incorrect fundability status
- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HESES return
- inappropriate authorisation of the HESES return
- lack of knowledge management
- poor use of student record data as management information
- variable practices in faculties, schools and departments producing inconsistent data
- students studying outside the UK being incorrectly included in the HESES return
- students recorded more than once in the HESES return.

Estimation of non-completions

2. The definition of a non-completion is included in Annex D. The audits identified a common misconception that withdrawals notified from an academic department are the sole source of data for that department's non-completion estimate. Estimation of the number of non-completions should normally be based on the non-completion rate for the previous year for the particular course. Where this is not the case, there should be a clear rationale for any alternative methods used or adjustments made. A student who fails to complete (that is, undergo the final assessment of, or pass) any module within the year of programme of study is to be returned as a non-completion for all activity in that year.

3. In using the previous year's non-completion rate for a course as the basis of the current year estimate, it is important to make sure that the non-completion rate for the previous year is accurately known. We have found several instances where this has not been the case. Non-completion status should be recorded in the year of programme of study. Continuation of study to the following year should not be taken as evidence of, or a proxy for, completion in the previous year.

4. Institutions may also find it useful to demonstrate the validity of their non-completion estimates by analysing the non-completion rates for different courses over, say, three to five

years. This would help to identify trends and years where the result is atypical compared with the trend.

5. A review of the outturn compared to the estimate should be made at the year-end and reasons for any discrepancies sought. This additional knowledge can then be used to inform the estimate for the following year.

6. Non-completions should be reported in a timely fashion, and the student record system updated to reflect the student's change in status. Systems should be in place throughout the year to enable identification of students who are missing from or are struggling with the course, and steps taken to try to retain them at the institution. The information obtained from evidence of interaction/involvement with the course should be used to follow-up missing students. Reconciliations should be made with the student record system to ensure it is up to date and accurately reflects what is being reported elsewhere. Instances were found where additional students were on mark sheets but no record of them was on the student record system. There were also instances where students had clearly withdrawn, but their records had not been amended on the student record system.

7. Students' records not being updated in a timely fashion has led to them being included in the return when they had already left the institution by the census date.

Estimation of forecast countable years (Column 2)

8. There was some confusion as to which students should be included in Column 2. There are sometimes no estimates for students who should be returned in this column, or alternatively students may be included here who should in fact be returned in Column 1. For a detailed explanation of the correct treatment see Annex D.

9. The estimates included have not been adequately backed-up by explanations as to how they have been established, particularly with reference to previous years' experience. An audit trail for these figures should be retained. Final outcomes should be compared to estimates, and reasons for any differences established. This additional information should be used, with trend analysis of previous years and any known changes to courses in the future (such as new or discontinued courses), to establish the estimates for future returns.

Assignment of departments to cost centres

10. Departments should be assigned to cost centres according to the guidance given in the forthcoming circular letter 'Assigning departments to academic cost centres: 2003-04'. The audits found that sometimes all academic activity for a department is assigned to only one cost centre, where a split between cost centres would be more appropriate. They also found cases where a department is split between cost centres and a standard division is applied, irrespective of the actual split in staff effort for that department. We may ask institutions to provide evidence of how they have allocated particular departments to cost centres.

11. Institutions reporting any activity in cost centre 39, computer software engineering, must ensure that all the criteria described in 'Assigning departments to academic cost centre: 1998-99' HEFCE 98/65, Annex B, are fully met and supported by documentary evidence. Institutions should not consider this a one-off exercise and should keep this area under regular review to ensure compliance for each annual HESES exercise.

12. As part of the comparison of HESA data to HESES01 we examined subject provision by cost centre. This highlighted a number of cases where inappropriate allocations had been made, often because of historical allocations of course codes or assignments of departments to cost centres. In addition some variation in how institutions mapped activity to cost centres was apparent.

13. Staff define cost centres. Therefore, when determining the cost centre for a given module, the cost centre of the member of staff most directly associated with it should be used. In particular, where a department is split across cost centres it will be necessary to identify which modules are taught by individual members of staff in order to assign the student load to the appropriate cost centre. In general this approach will not be consistent with pro-rating student load to the staff cost centre split. Wherever possible, where two or more members of staff from different cost centres are associated with a particular activity, the student load should be split according to the proportion contributed by each member of staff.

Apportionment of student load to cost centres

14. The allocation of student load to cost centres, and therefore to price groups, can present problems where provision for a course is in more than one department and cost centre, or where a department is split between cost centres. If part of a course or a module of a course is provided by a different cost centre to the rest of the course, this should be identified on the HESA record, and on HESES by mapping the relevant student load to the correct price group. Where the student load for a course is split between cost centres, the load should be apportioned in an appropriate ratio. The ratio should be calculated on an individual course basis and reviewed regularly. It is not appropriate for a ratio calculated for one course to be applied to other courses. More guidance is included in Annex G, paragraphs 14-20.

Part-time load factors

15. As shown in Annex E, the sum of the total student load allocated to a part-time student should be equivalent, over the duration of the course, to that allocated to a full-time student. For example, if the total FTE for the full-time course is 3 (the load for each of three full-time years is 1), then the sum of the part-time loads over the duration of the part-time course should also be 3. We have found examples where this is not the case, due to many factors, including a lack of understanding of what the student load is meant to represent.

16. Use of standard part-time load factors is common, as the part-time student activity for the year may not have been ascertained by the census date due to the nature of the study.

This is acceptable practice. However, these standard load factors often do not accurately reflect actual activity for the year. If standard load factors are to be used, there must be clear evidence that on average students do study at these levels of activity.

Fundability status

17. In some audits each year, we find cases where students have been included in the HESES return as fundable when they were clearly being fully funded from another EC public source, such as the NHS or HM Forces. This is inappropriate, and implies there has been a failure in the system for preparing the return. Staff preparing the return should ensure that such students are correctly treated in accordance with Annex F.

Collaborative arrangements

18. Many institutions are involved in collaborative arrangements with other institutions, for example franchise arrangements with FECs. It is essential that the exchanges of information and communications between all the partners are frequent, timely, open and effective. In particular, we highlight the importance of the lead institution being told promptly by the partner institutions about any non-completing students. This may require clear protocols with partner institutions regarding exchange of information.

19. The different parts played by each partner will vary in collecting and managing data. However, the principle applied at audit is that student data should be managed with equal professionalism at all partner institutions. When entering into partnership arrangements, the systems in operation and the exchange of information should form part of the negotiations and final agreement.

20. It is also important that students are only returned by the lead institution. Institutions' student record systems should clearly identify students eligible to be returned by them, and should ensure that those not eligible are excluded.

Inadequate audit trail

21. In some cases, the audit trail between the student record systems and the HESES return was inadequate. A record of the basis for making estimates of non-completions and forecast countable years should be kept, along with any relevant printouts and working papers used in completing the return. This is particularly important where only one person is responsible for the return, as the return has to be reproducible even if they leave. The audit trail should be retained for at least three years. Source documents such as registration forms should also be retained. Where an institution uses document image processing or other methods to store such information, the original documents should normally be retained for at least one year, and the copy retained for at least a further two years.

Authorisation of the HESES return

22. At some institutions, the person responsible for the production of the HESES return also signed it off on the institution's behalf. We expect the HESES return to be signed off as described in paragraph 18 of the main document, and not by the preparer of the return. The person signing off the return should have an understanding of our data collection requirements, to ensure that the institution has systems capable of producing an accurate and complete return and that the preparer of the return has compiled it competently.

23. The analytical review function of the person signing off the return is vital in reducing the number of 'obvious' errors returned, which could be spotted at the institution by a competent person.

Knowledge management

24. At many institutions, the knowledge required to prepare the HESES return is undocumented and sometimes lies with only one person. This creates a risk that, in the absence of that person, particularly at crucial times of the year, the institution may not be able to prepare the return on time or to the appropriate standard. A good audit trail helps to reduce this risk. But we also consider it good practice for all institutions to manage this risk effectively, by ensuring that at least two people can both produce the information for the return and prepare the return itself.

25. In addition, institutions should consider ensuring that the relevant processes are adequately documented and that this documentation is kept up to date. This requires all relevant staff, including experienced staff, to consider HESES each year, and to make any necessary changes to their systems.

Management information

26. The student record system is not only important from the point of view of the HESES and other statistical returns, but is also a source of management information for the institution. The opportunity to use this resource is being lost at many institutions we visited. Typically, student records are only cleaned up at the time of end of year examinations, because academic staff have to rely on the data at that time. The opportunity to use the data throughout the year as a management tool for identifying problem areas or potentially failing students is lost.

27. Although most institutions do not use the data effectively, a growing number have implemented 'data warehouse' solutions to provide key management information from the student records system.

28. Management information is only useful if it is complete, accurate and timely. Complete and accurate data would in turn produce a more accurate HESES return.

Variable practices

29. Although institutions have academic regulations and procedures for managing student data in the student record system, the audit visits picked up many instances of inconsistent practice within institutions.

30. Differential practices do not necessarily mean that procedures are not being followed. In a number of instances it was clear that the procedures were inadequate to cope with the complexity of the area in question. For example, faculties of health studies often have requirements over and above those of the rest of the institution. However, it was clear in other areas that the staff managing the data were not sufficiently trained in the institution's requirements.

31. Data quality will be improved if the requirements of all users are fully understood and taken into account by staff managing and maintaining the student record system. All users should also be trained in the data requirements of the institution, so that they understand why they are asked to perform particular tasks.

Students studying outside the UK

32. Students spending most of their time overseas should in general be excluded from the HESES return. For the exceptions to this, see Annex B, paragraph 3(e). Where there is a clear academic reason for studying abroad rather than in the UK, the students may be included in the return, but even where such a reason exists, HEFCE must specifically sanction the course as eligible.

Students incorrectly recorded more than once on the HESES return

33. This is becoming a less frequent problem, but we still find instances of students being recorded more than once on the HESES return. There should be a review of the student record system before data are extracted for the return, to check for duplicate records. This should be general practice throughout the year, particularly when new student records are being set up on the system. There may, exceptionally, be genuine reasons why a student has two records, and it needs to be established where this is so. Where it is not correct, the student record system should be amended at the earliest opportunity.

Annex S

Glossary

APL	Accreditation of prior learning.
Attendance	A student is considered to be attending the institution whenever they undertake periods of study, tuition or work experience as part of the programme of study. For example, a distance-learning student studying at home is attending.
Base level of resource	For 2003-04, this is £2,808. Also known as the base price.
EC	European Community
EEA	European Economic Area: all EC countries plus Iceland, Liechtenstein, Norway and Switzerland.
ERASMUS	European Community action scheme for the mobility of university students.
ESF	European Social Fund.
FE	Further education.
FEC	Further education college.
Foundation degree	A two-year full-time, or the part-time equivalent, HE course which has been validated by an HEI as a 'foundation degree', and which is expected to incorporate the core features set out in the foundation degree prospectus, HEFCE 00/27.
Foundation degree bridging course	A short stand-alone course taken after a foundation degree has been completed to enable students to go on to the final year of an honours degree course.
Franchised-out	Any student who enrols at one institution and pays them a fee for tuition or supervision of research, but undertakes all or part of their study at another institution, is considered to be franchised-out by the institution collecting the fee. This includes all collaborative arrangements except HEFCE-recognised funding consortia. See Annex B.
FTE	Full-time equivalent.
HE	Higher education.

HEA	Higher education adviser (from HEFCE).
HEFCE-recognised funding consortium	See Annex B, paragraphs 14 and 15.
HEI	Higher education institution.
HEIFES	Higher Education in Further Education: Students survey.
HESA	Higher Education Statistics Agency.
HESES	Higher Education Students Early Statistics survey.
HESES student population	HESES counts years of programme of study for students aiming for a recognised HE qualification. The students that generate these years of programme of study are called the HESES student population. See Annex B.
HIN	Unique HE programme of study identifier on the HESA record, HIN = **H**USID + **I**NSTID + **N**UMHUS, a combination of student identifier (Field 4), HESA institution identifier (Field 2) and student instance number (Field c151 s136). See the HESA student record coding manual, Appendix 11, for further information.
HMSO	Her Majesty's Stationery Office, now called The Stationary Office.
ILR	The Learning and Skills Council's individualised learner record.
INSET	In-service education of teachers.
Intercalated year	For HESES purposes, this is a year inserted into a medical course to allow for the award of a BSc or BA in addition to the normal medical degree.
ISR	The Learning and Skills Council's individualised student record.
ITT	Initial teacher training.
LSC	Learning and Skills Council.
NHS bursaried courses	Pre-registration courses for which an NHS bursary may be payable.

NVQ	National Vocational Qualification.
PGCE	Postgraduate Certificate in Education.
PGT	Postgraduate taught students.
PGR	Postgraduate research students.
Postgraduates	Students registered for courses or credits where a normal condition of entry is that entrants are already qualified to degree level (in other words qualified at level H of the QAA national qualifications framework). See Annex I.
QAA	Quality Assurance Agency for Higher Education.
QTS	Qualified teacher status.
Regulated fees	Fees as defined in the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200). See Annex L.
SCITT	School-centred initial teacher training.
SLC	Student Loans Company.
SOCRATES	European Commission action programme in the sphere of school and higher education.
Standard resource	Standard resource is used for funding purposes. It is calculated by multiplying the weighted full-time equivalent student load by the base price. See Annex F.
Student load	Student activity expressed as full-time equivalents rather than counts of years of programme of study. See Annex E.
TTA	Teacher Training Agency.
Ufi	A government initiative to develop a 'university for industry'. Learning services are provided through 'learndirect'.
Undergraduates	Students studying towards a first degree (including foundation degree), HE certificate or diploma, or equivalent; or students registered for an institutional credit that can be counted towards one of these qualifications. See Annex I.

Year of programme of study	Students study towards qualification aims over a period, which can be split into one or more years of programme of study. See Annex D.

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September 2003/44
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Request for data

Returns should be uploaded to the secure area of the HEFCE web-site, by Tuesday 9 December 2003

This document asks institutions to complete the annual survey on full-time equivalent student load on recognised higher education courses. The data will give an early indication of the number of HE students studying in the academic year 2003-04; enable us to monitor the achievement of the funding agreement targets for 2003-04; and, with data supplied to the Higher Education Statistics Agency, inform our allocation of teaching funds for 2004-05.

HESES03

Higher Education Students Early Statistics Survey 2003-04

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HIGHER EDUCATION FUNDING COUNCIL FOR ENGLAND
hefce

HESES03

Higher Education Students Early Statistics Survey 2003-04

To	Heads of HEFCE-funded higher education institutions Heads of universities in Northern Ireland
Of interest to those responsible for	Student data, Funding
Reference	2003/**44**
Publication date	September 2003
Enquiries to	Joe Clark tel 0117 931 7292 e-mail heses@hefce.ac.uk

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Executive summary

Purpose

1. This document asks institutions to complete the annual survey on full-time equivalent student load on recognised higher education (HE) courses.

Key points

2. The data will:

   a. Give an early indication, including for government planning purposes, of the number of HE students studying in the academic year 2003-04.
   b. Enable us to monitor the achievement of the funding agreement targets for the academic year 2003-04.
   c. Together with data supplied to the Higher Education Statistics Agency (HESA), inform our allocation of teaching funds for the academic year 2004-05.

3. This document provides:

   a. Guidance notes for completing the Higher Education Students Early Statistics Survey 2003-04 (HESES03).
   b. Definitions used in the HESES03 survey.
   c. Examples of the survey tables, which will be distributed electronically.

4. Information contained in the annexes will help institutions to complete the survey.

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Action required

5. Returns should be uploaded to the secure area of the HEFCE web-site, by **Tuesday 9 December 2003**. Excel workbooks will be available to institutions' HESES contacts in November 2003.

The HESES03 survey

6. The following sources of data will inform our allocation of funds for 2004-05:

- HESES03
- the HESA/Learning and Skills Council (LSC) July 2003 individualised student record
- Research Activity Survey 2003.

7. HESES03 should be completed by all higher education institutions (HEIs) receiving HEFCE recurrent funds for teaching. The Research Activity Survey 2003 will be issued in October 2003: it should be completed by all institutions that receive HEFCE funding for research in 2003-04, or that expect to receive such funding in 2004-05.

8. Coverage of the HESES03 survey is given in Annexes B and C. Definitions of when activity should be counted are in Annex D. Annexes E to J explain how to record different categories of activity.

9. All activity that meets the criteria set out in Annexes B to D should be reported, even if it will not be used directly to allocate funds. For example, HEFCE will not support students ordinarily resident outside the European Community (EC), but these students should still be included in the 'Island and overseas' column on the tables.

10. For allocation purposes we source various information from the HESA/LSC July 2003 individualised student records. In particular, we expect to use the following fields:

a. Disabled Students Allowance (to determine whether the student should count towards the calculation of the disability allocation).
b. Postcode (the home postcode may be used to determine whether the student should count towards the calculation of the allocation for widening access).
c. Highest qualification on entry (may be used to determine whether the student should count towards the calculation of the allocation for improving retention).
d. Date of birth (may be used in allocations for widening access and improving retention).
e. Cost centre (may be used in allocating load to new price groups – see HEFCE 2003/42 'Development of the funding method for teaching from 2004-05: consultation').
f. The FUNDCOMP field (completion of year of programme of study) from the HESA record (may be used to determine non-completion rates – see HEFCE 2003/42).

Institutions should note that the underlying populations are determined using a wide range of fields, so incomplete records will adversely affect the funding allocations. Full details of these algorithms are in 'Guide to HESES02 re-creation web facility' (HEFCE 2003/39).

11. Directly funded further education colleges (FECs) make a similar return to us on the Higher Education in Further Education: Students Survey 2003-04 (HEIFES03), issued as HEFCE 2003/45.

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Institutional contacts

12. Institutions have sent us details of a contact for the HESES survey. If institutions wish to check or change their HESES contact details, they should speak to or send an e-mail to their HEFCE higher education adviser (HEA). The HEA for each institution can be found on the HEFCE web-site under About us/Contact us.

Data collection and verification

13. Enquiries about this survey should be addressed to Joe Clark (tel 0117 931 7292, e-mail heses@hefce.ac.uk). There is a web page giving answers to frequently asked questions and examples of completed HESES returns. The web page will also contain any amendments or clarifications that need to be made after the publication and workbook are available. It can be found on the HEFCE web-site, www.hefce.ac.uk, under Questions/HESES FAQs. The web page is updated regularly and institutions are expected to look here for guidance before and during completion of their HESES return. We will use an e-mail list of HESES contacts to notify institutions of any significant changes or updates. We will not use this simply to notify them of changes to the information on the web.

14. An Excel workbook will be available for download by institutional contacts in November 2003. Notes on the workbook are at Annex O.

15. The workbook contains a number of validation checks, detailed in Annex N, and we will carry out further checks when we receive it. Once we have validated the returned data, institutions will be asked to verify their returns. We may refuse to revise allocations once data have been verified.

Outline timetable and process for the 2004-05 funding round

16. Institutions are required to return their HESES03 survey by Tuesday 9 December 2003. Once we receive the data, we carry out a number of validation and credibility checks, and calculate whether institutions have met their funding agreement targets for 2003-04. The data do not need to be formally signed off by the vice-chancellor or principal at this stage. However, it is good practice for a senior member of the institution to have agreed the return prior to submission.

17. During December, HEAs will write to institutions, enclosing a printout of their HESES data and the comparison and grant adjustment reports generated from them. Institutions will be asked to:

- verify that the data are accurate, or make corrections
- answer any questions we may have on the data
- submit any appeals against adjustments to grant made by formula, such as holdback.

18. By 13 January 2004, all institutions must have signed off their HESES data as being correct as at the census date of 1 December 2003. The data should be signed off by the vice-chancellor or principal of the institution, or their most appropriate deputy, on the institution's behalf. This person should be different from, and preferably senior to, the preparer of the return, and should assess the return for accuracy and completeness before signing it off. The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by institutions. We will normally expect institutions to answer any questions about data within five working days.

19. During January we will consider any appeals against grant adjustments made by formula. Institutions will be notified of the outcomes of their appeals in February. We will announce provisional allocations of recurrent grant for 2004-05 on 3 March 2004.

20. The timetable is summarised below:

November 2003	HESES workbooks available to institutions
December 2003	• 9 December – deadline to return HESES data • Mid-December – validation and credibility checks by HEFCE • Mid-December – HEAs write to institutions, asking them to verify the data, answer any questions about the data and submit any appeals. Institutions will normally have five working days to answer questions about data
January 2004	• 13 January – institutions must have authorised and signed off their HESES data as being correct at 1 December 2003 • 13 January – deadline for submission of appeals
February 2004	Institutions notified of outcome of appeals
3 March 2004	Institutions notified of provisional allocations of recurrent grant for 2004-05
14 May 2004	Deadline for institutions to request amendments to provisional allocations
Late July 2004	Institutions receive their funding agreements, including final grant allocations, for 2004-05

21. There are two grant announcements in the year – in March and July. To be reflected in the March grant announcement, we need to have received all HESES data amendments by 13 January. To be reflected in the July grant announcement, we will need to have received any further HESES data amendments by 14 May. However, because our total budget is limited, we cannot guarantee to provide additional funding arising from amendments received after 13 January. All changes to grant after the initial March announcement are subject to approval by our Board; we will not confirm the effects on funding of data changes until that approval has been given. After the March grant announcement, the Board will next consider changes to grant in June so that they can be included in the July funding announcement.

22. In January 2005, we will compare HESES03 data with the July 2004 HESA student record and the July 2004 LSC individualised learner record (ILR). Where we find – through

audit, comparison with HESA data, or otherwise – that an institution has received higher allocations than it should have done, we will reduce grant accordingly.

Returns

23. Returns should be uploaded to the secure web-site no later than **Tuesday 9 December 2003** (see Annex O for details).

24. We will not accept any requests for late submission of data. Where an institution fails to return data on time, or the returned data are not credible, we may base the allocation of funds on our own estimate of student activity. Institutions that do not submit credible data on time are more likely to be audited.

Audit

25. We will audit HESES03 data. Institutions should therefore keep an adequate audit trail recording how the data were derived. This is especially important where institutions are including estimates or making judgements; for example, the basis for forecasting non-completions should be recorded. Our auditors will also seek to rely on any relevant internal audit work that has been carried out on the student record system and/or the method for compiling the HESES return, where appropriate.

26. As part of our audit process we will compare HESES03 data with a variety of other data, most notably individualised HESA data as these become available. Where we find – through audit, comparison with HESA data, or otherwise – that an institution has received higher allocations than it should have done, we will reduce grant accordingly. Details of how we will compare data are given in 'Guide to HESES02 re-creation web facility' (HEFCE 2003/39), and in Annex M. We will also compare data returned on HESES03 and data returned on the Research Activity Survey 2003. We may refuse to accept data where there are significant differences.

Audit of HESES02 (see Annex R for full details)

27. For HESES02 we are auditing 21 institutions and following up previous audits at a further three institutions. At the time of preparing this publication not all the audits had been undertaken. The completed audits highlighted areas in which some institutions were incorrectly interpreting the HESES guidance, or where internal institutional systems and practices did not facilitate the production of the HESES return. The findings included:

- lack of robustness in the estimation of non-completions
- lack of robustness in the estimation of forecast countable years
- incorrect assignment of departments to cost centres
- incorrect apportionment of student load to cost centres, where a course is in more than one cost centre
- incorrect calculation of part-time load factors
- incorrect fundability status

- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HESES return
- inappropriate authorisation of the HESES return
- lack of knowledge management
- poor use of student record data as management information
- variable practices in faculties, schools and departments producing inconsistent data
- students studying outside the UK being incorrectly included in the HESES return
- students incorrectly recorded more than once in the HESES return.

Annex A

Summary of changes and clarifications since HESES02

1. Students from countries joining the European Community (EC) during the 2003-04 academic year should be returned as 'Island and overseas' in HESES03. We will use 2002-03 HESA data to determine any adjustments in funding calculations arising from enlargement of the EC.

2. Column 6 (c) on Tables 1a, 2 and 3 is hidden for all institutions that do not lead a HEFCE-recognised funding consortium. See Annex B paragraphs 4-15 for details.

3. As last year, institutions will download their blank workbooks from a secure web-site. This year, however, completed workbooks will be uploaded to the same web-site instead of being returned to us by e-mail. See Annex O for details.

4. Students from Gibraltar should be treated in the same way as students from countries in the European Economic Area but not the EC. See Annex F paragraph 2 for details.

5. Our definition of completion has changed to take into account students that pass a module without sitting the final assessment of that module. See Annex D paragraphs 14-21 for details.

6. The title and column headings on Table 7 have changed to recognise the fact that students can be domiciled outside the EC but still eligible for home and EC fees. The table now correctly splits students into 'home' and 'other students eligible for home and EC fees'.

7. Home and EC students are those meeting the definition of eligible students in the Education (Fees and Awards) Regulations 1997, as amended.

8. Undergraduate clinical dental students are now those on the final four years (instead of final three and a third) of a registrable dental qualification.

Annex B

The HESES03 student population

1. HESES03 records counts of years of programme of study for students aiming for a recognised HE qualification. The students that generate these years of programme of study are called the HESES03 student population. Paragraphs 2 and 3 below define which students should be included in the HESES03 student population. Some students within this population may generate years of programme of study which are counted in a previous or future HESES survey, but not generate any years included in HESES03 (see Annex D for when to count activity). All years of programme of study counted in HESES03 must relate to a student within this population.

2. Students meeting **all** of the following criteria should be included in the HESES03 student population:

   a. At least part of a year of programme of study in which they are actively pursuing studies with the institution falls within the academic year 2003-04. This includes outgoing exchange students.
   b. They are studying towards a recognised HE qualification aim, or a credit that can be counted towards such a qualification, as defined in Annex C.
   c. They have an individual student record returned to HESA or on the LSC ILR.
   d. They are not being returned on any other institution's HESES or HEIFES return.

3. Students in **any** of the following categories should **not** be included in the HESES03 student population:

   a. Students not studying towards a recognised HE qualification aim, or a credit that can be counted towards such a qualification. Students whose sole qualification aim is an NVQ should not be included. Students should be included if they gain both a recognised HE qualification and an NVQ as the result of a programme of study.
   b. Students who will not be included in the individualised student record for the institution at which the student is registered. All students included in the HESES03 student population must be included on the registering institution's individualised student record, even if this is not normally compulsory under the coverage of the record.
   c. Incoming exchange students.
   d. Students franchised-in from another institution, or who are part of a HEFCE-recognised funding consortium where the institution is not the lead institution (see paragraphs 4-15 below).
   e. Students spending most of their time for the whole programme of study outside the UK (including distance learners outside the UK), except where:
      i. There is a clear academic reason for studying abroad rather than in the UK. Even where such a benefit exists, we must specifically sanction the course as eligible.

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ii. The student is temporarily and unavoidably abroad and remains liable to UK tax on their earnings, or is a dependant of such a person. This includes members of HM Forces and their dependants.

Sandwich students working abroad and language year abroad students should normally be included in the HESES03 student population, as the year abroad will not constitute most of their programme of study.

f. Students for whom no year of programme of study in which they are actively pursuing studies falls at least partly within the academic year 2003-04. For students following standard academic years this means the student is not actively pursuing any studies within the year. This includes students who are writing-up for the whole of the academic year.

g. Students registered for research qualifications awarded primarily on the basis of published works should not be included in the student population unless they undertake a significant amount of research at the institution.

h. Students who are on school-centred initial teacher training (SCITT) programmes.

i. Students who are being returned on any other institution's HESES or HEIFES return.

Students taught under partnership, collaborative or similar arrangements

4. Institutions should note that a student is considered to be 'registered' on the HESA student record at the institution that collects the fee for the student.

5. Many students are taught under a variety of collaborative arrangements. For the purposes of HESES03, there are two broad types:

a. Franchises. This applies to virtually all collaborative arrangements, including many that institutions may refer to as consortia, such as those for the delivery of foundation degrees.

b. HEFCE-recognised funding consortia.

6. The features of these two broad types of collaborative arrangement are described below. Institutions that are the lead or franchiser in such collaborative arrangements are asked to identify the student numbers involved separately in HESES. However, only the institutions that are the lead in a HEFCE-recognised funding consortium will be able to input data in the cells relating to such consortia in Tables 1a, 2 and 3.

Collaborative arrangements treated as franchises for HESES purposes

7. Unless the student is being taught through a HEFCE-recognised funding consortium, all provision that is delivered through a collaborative arrangement is regarded as being a franchise for the purposes of HESES03. Industrial placements, work experience and language years abroad should not normally be regarded as franchised-out for the purposes of HESES.

8. The following paragraphs explain who should return franchised activity to us. The 'HEFCE survey' referred to below will be either:

- HEIFES03 for FECs or
- HESES03 for HEIs.

9. Where one institution enrols a student and collects a fee for tuition or supervision of research for that student, but the student undertakes all or part of their study at another institution, only the institution that receives the fee should include the student in its HEFCE survey student population. Such a student is regarded as franchised-out by the institution collecting the fee.

10. If a course is run jointly by more than one institution, only the institution that receives the fee should include the student in its HEFCE survey student population.

11. If two institutions receive a fee from a student for a given year of programme of study of a course, the institution that receives the largest portion should include the student in its HEFCE survey student population. If both institutions receive the same amount, the institutions must ensure that only one includes the student in its HEFCE survey student population.

12. In some cases the institution teaching the student may collect the fee on behalf of another institution. Where this is the case, if the fee is transferred directly to another institution, the institution the fee is transferred to should include the student in its HEFCE survey student population. If the fee itself is not transferred but is used to offset payments between two institutions in respect of the student, this should be treated as if the fee had been transferred.

13. In all the above cases, the student is recognised as a student of the franchiser. The institution that includes the student in its HESES03 student population must also return a record to HESA, and its performance indicators and quality assessments will take account of activity relating to that student as appropriate. The HESA record of such a student must clearly identify the nature and extent of the franchise.

HEFCE-recognised funding consortia

14. A HEFCE-recognised funding consortium is a mechanism for distributing grant to a group of institutions through a single lead institution. Consortia are only 'HEFCE-recognised funding consortia' if we have notified the institutions concerned in writing. As with a franchise, the lead institution will return all data relating to the consortium in its HESES return, while the individual consortium members will not report the provision in any aggregate student number returns they may make to us.

15. However, such an arrangement differs from a franchise in that the student is recognised as a student of the appropriate consortium member, rather than of the lead

institution. This means that the students will be reported in either the HESA or LSC individualised returns of the appropriate consortium member, rather than those of the lead institution. Likewise, the students will be reflected in the performance indicators and quality assessments of the member institution, rather than the lead. Apart from for HEFCE funding purposes, the students will in all other respects be treated as students of the consortium member.

Annex C

Recognised courses of HE

1. Recognised courses of HE are those defined in paragraph 1 of Schedule 6 of the Education Reform Act 1988. This includes any postgraduate or undergraduate degree, accredited HE diploma or certificate. Other courses leading to professional or vocational qualifications may be included if they are generally recognised as HE qualifications; this does not include NVQs.

2. Students who are not studying towards a recognised HE qualification, or a credit that can be counted towards one, are excluded from the HESES03 student population.

3. Foundation years, and other provision commonly referred to as 'level 0', are recognised courses of HE only if they are an integrated part of a recognised HE qualification. Free-standing foundation years and other free-standing 'level 0' provision are not recognised courses of HE.

Annex D

Countable years of programme of study

1. Students study towards qualification aims over a period of time. This period can be split into one or more years of programme of study. The first year begins when the student starts studying towards the qualification aim; the second and subsequent years start on or near the anniversary of this date.

2. HESES counts years of programme of study for students aiming for recognised HE qualifications. This is not the same as counting students. This approach ensures that comparable activity is recorded in the same way, irrespective of when it occurs.

3. Exceptionally, a student may study towards two or more independent qualifications concurrently. Each programme of study would then generate its own year of programme of study which would be countable. Thus, a student studying towards a PhD and an unrelated undergraduate professional qualification would generate two years of programme of study each year. However, a student studying for several institutional credits that can count towards the same final qualification would generate only one year of programme of study each year. Usually, independent qualification aims would have different qualification aim codes on the HESA student record. This might not be the case if the qualification aim code were sufficiently general, for example 'professional qualifications'.

4. Students on Ufi courses who are also registered for an HE qualification should only be returned using their main qualification aim. The two qualifications should not be treated as independent, so the student would only generate one year of programme of study.

5. Where students complete a foundation degree and then undertake a foundation degree bridging course to enable them to join the final year of an honours degree, the foundation degree bridging course should be treated as an independent course which will generate its own year of programme of study. See paragraphs 30 and 31 below.

6. In all cases, where a student is studying for two or more separate and independent qualification aims, each should be returned with its own HIN identifier (see Glossary, Annex S) on the HESA student record. Guidance on the HIN can be found in the HESA student record coding manual under NUMHUS (field 151/136); additional notes on linking and target lists for the HIN are in Appendix 11 of the same publication.

7. For students within the HESES03 student population, exactly when a year of programme of study becomes countable depends on how its FTE is reported to HESA. There are four types of HESA record:

For standard academic years

a. All activity for a year of programme of study is within one academic year. Students following standard academic years will fall into this category. Most HESA records are of this type.

For non-standard academic years

b. Activity for a year of programme of study spans two academic years, and the whole of the FTE is reported in the academic year in which the year of programme of study begins.
c. Activity for a year of programme of study spans two academic years, and the whole of the FTE is reported in the academic year in which the year of programme of study ends.
d. Activity for a year of programme of study spans two academic years, and the FTE is split proportionally across them.

8. To be counted, years of programme of study must be generated by a student in the HESES03 student population, and meet **all** the following criteria:

a. A fee is charged for tuition or supervision of research. This fee may be waived.
b. The FTE for the year of programme of study is at least 0.03.
c. The student is not writing-up a thesis or similar piece of work for the whole of the year of programme of study.

Students are writing-up where they have completed their research work and will not undertake any significant additional research. It is common practice for such students to still receive a small amount of supervision, and they may still have access to other facilities at the institution. However, such students should still be treated as writing-up.

9. Years of programme of study within cases (a) and (b) above will be counted on their commencement date and its anniversary.

10. For students falling into case (b) above, the final academic year during which the student is active will not usually generate a countable year of programme of study. It will do so, however, if a student undertakes a short period of activity after the anniversary of their commencement date and that activity ends in the same academic year. If the short period of activity starts and is completed before 1 December, the student should still be returned in Column 1 of the HESES tables.

11. Years of programme of study within cases (c) and (d) above will be counted in HESES on 1 August in each academic year in which activity occurs, except the first. Where, exceptionally, all activity for the final year of programme of study falls entirely within an academic year, the student will generate two countable years of programme of study: one on 1 August and a second when the final year of programme of study begins.

12. For students within case (d), it is not possible to identify a year of programme of study from the July HESA student record. Institutions should, where possible, avoid making an approximation of activity for the year of programme of study. For monitoring purposes, where a student is active for the whole academic year we will assume that the load for the year of programme of study is broadly comparable to the load for the academic year. Where the

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student is not active for the whole year we will make an approximation based on the current year and the first year in which the student was active. Full details of this process can be found in paragraphs 45-57 of Annex D of the 'Guide to HESES02 re-creation web facility' (HEFCE 2003/39).

13. Occasionally some students may join a programme of study at a date different to the usual start date. Such students may be treated as if they had joined with the rest of the cohort if:

a. Having caught up with the rest of the cohort, they will subsequently follow an identical pattern of study and

b. Activity for all years of programme of study for the cohort falls within the academic year.

If this is not the case the student should be treated as on a non-standard programme of study.

Non-completions

14. Non-completion is defined in terms of modular programmes of study. It applies to all institutions, including those that may not consider their programmes to be modular. For HESES purposes a module is taken to mean a discrete component within a programme of study, sometimes referred to as a unit, 'course' or option. Where a student is studying a number of modules that may all count towards the same qualification then this should be treated as a single programme of study. We have changed the definition with effect from 2003-04 to recognise that some students may choose not to undergo final assessment on the basis that they have already met the academic criteria to pass the module.

15. A student who fails to complete (that is undergo the final assessment of, or pass) any module within the year of programme of study is to be returned as a non-completion for all activity in that year. However, an exception is allowed for full-time students where the module is in addition to the standard requirements for full-time study.

16. Where there is no final exam, or the final exam does not constitute the final assessment for the module, for example where a dissertation is submitted after exams, completion would be measured against submission of the final coursework or dissertation for the module, or passing the module.

17. Exceptionally, a year of programme of study that counts towards a qualification taken over several years may not contain any formal assessment, for example where assessment will take place at the end of a later year. In this case, continued attendance throughout the year of programme of study would constitute completion. Institutions should therefore ensure adequate evidence of attendance exists, such as class registers.

18. Where assessment is optional (for example on open programmes, including continuing education provision) students should only be treated as completions where they undergo formal assessment such that if they pass the assessment they will be awarded credits.

19. Where a part-time student has a clear intention of completing a specified activity within the year of programme of study, completion is measured against this. Thus, if a student starts the year intending to follow a certain pattern of activity but does not complete it, then that student would be a non-completion for all activity for the year. If the programme of study did not specify the pattern of activity within the year, then, provided that the student completed all activity started in the year, he or she would be considered as completing.

20. In some cases the final assessment for a module may fall outside the academic year in which it is counted, or exceptionally outside the year of programme of study. In either case, completion of the module is still measured against attendance at the final exam or submission of final coursework relating to the module, or passing that module. For example, if a student studies on a standard academic year but the examinations are held in August, completion will be determined by attendance at the August examination, or by passing the module.

21. Institutions should ensure that estimates of non-completion are supported by historical data – see Annex R for details about common errors discovered as part of our audit of HESES02.

New entrants

22. New entrants are defined as students registered for the first (or only) year of a course leading to a recognised HE qualification. Note that:

a. Students re-taking the first year of a course should be included as new entrants.

b. Students transferring between courses are to be included only if they are registered as first-year students on their new course.

c. Students entering directly on to the second or subsequent year of a course should not be counted as new entrants.

d. Students whose course includes an integrated foundation year (at 'level 0') should be counted as new entrants only during their foundation year. In this case the student should not be counted as a new entrant during year one of the course.

Summer schools

23. There are four types of short course that are sometimes referred to as summer schools. These are described in more detail below.

Summer schools for potential HE students

24. These are intended for potential HE students to experience a short period of study in an HE environment in the summer vacation. Students are not included in the HESES population as the course is not HE level.

Access provision

25. In some cases, institutions offer short preparatory or access courses for individual students to facilitate progression on to an initial HE qualification. These are taken immediately before the start of their HE qualification. Where this is an integral part of an HE level course, then it is included in the HESES population. It will only be considered integral if successful completion of the access provision guarantees seamless continuation on to the HE level course, and the student has enrolled for both the access provision and the HE level qualification on entry to the access course. The short access course and the first year of the HE course will typically count as one year of programme of study. This may result in the year of programme of study being counted as long, as defined in Annex J.

26. If the access provision is not an integral part of the HE level course, it is not HE level and the students are not part of the HESES population.

Within-course periods of study in vacation time

27. These are within-course short periods of study which generally take place in the vacation periods and are normally for students to catch up with others on the course. They are usually between years of programme of study but within a course. They are counted as part of the preceding year of programme of study and may result in that year of programme of study being counted as long, as defined in Annex J.

28. Where the short period of study occurs during the summer vacation, this may cause students who would normally be following standard years of programme of study to generate a non-standard year for the year which includes the short period. However, for data collection purposes, they should be treated as standard academic years.

Example

29. A student studies full-time for a degree over three years, with activity for each year of programme of study running from October to July. Between the second and third years, a short period of study, running from 25 July to 5 September, is undertaken to bring the student up to the standard of others on the course. This short period of study counts as part of the second year of the degree, and the second year of programme of study counts as a standard academic year. The year of programme of study would only be counted as long if it fitted the criteria to be long, in Annex J.

Foundation degree bridging courses

30. These are courses which come after a foundation degree has been completed, but before the final year of an honours degree course. They are short courses which are not an integral part of the course they are bridging from. Progression is assured from successful completion of a foundation degree bridging course to the final year of an honours degree. For the purposes of HESES, they are counted as a separate year of programme of study and are

returned as part-time with an FTE of 0.3. If the bridging course spans two academic years, it should be recorded in the academic year in which the bridging course ends.

31. Where a student is studying a foundation degree bridging course, the FTE recorded in field 74, STULOAD, on the HESA student record should be increased to reflect this. Where the bridging course spans academic years, the load should all be returned in the second academic year; this may differ from the method used for other non-standard academic years. Institutions should also indicate in field 52, SPPRG, that the student has studied a foundation degree bridging course in the year in which the FTE is increased. It may be that the inclusion of a foundation degree bridging course means that the year of programme of study becomes non-standard. However, where the year would otherwise have been recorded as a standard academic year, it should still be recorded as such.

Example

32. A student completes a foundation degree in June 2004, then undertakes a bridging course from July to September and then joins the final year of a degree which they complete in June 2005.

Field	**July 2004**	**July 2005**
QUALAIM	28	21
STULOAD	100	130
TYPEYR	1	1
SPPRG	N/A	08

33. Where a student's only activity during the academic year is a foundation degree bridging course, they should be returned with a value of 61, 'Institutional undergraduate credit which may be counted towards qualifications within codes 01 to 52' in field 41, QUALAIM. (That is, when a student withdraws during or following completion of the course, or where they transfer in from another institution before starting the course.)

34. Where a student undertakes a foundation degree and starts a bridging course in the same academic year, but the bridging course is counted in the next academic year, then field 155, FUNDCOMP, should reflect whether the student completed the foundation degree and will therefore usually be returned with a value of 1. If the bridging course does not continue into the next academic year then field 52, SPPRG, should be coded as 08, and field 155, FUNDCOMP, should reflect whether the student completed the bridging course. Similarly where the student progresses to a degree after completion of the bridging course, FUNDCOMP should reflect the completion status of the year of programme of study of the degree.

Annex E

Full-time equivalence for part-time years of programme of study

1. Student load recorded on HESES03 should relate to the years of programme of study being counted. In some cases this may not be consistent with the load returned on the HESA student record. However, it should be consistent with HESA data when summed over the programme of study.

2. The FTE for a part-time course is calculated by comparison with an equivalent full-time course, where such a course exists. If an equivalent full-time course does not exist, a reasonable academic judgement should be made of the load relative to a full-time student. Where such a judgement is made, the methodology should be recorded for audit purposes.

3. Calculation of the FTE can be based on either:

   a. Duration of the course or
   b. Credit points studied.

In both cases, when viewed as a whole, the total FTE for a part-time course should equal the total FTE of the equivalent full-time course. Where method (a) is used, the calculation should be based on the number of years of programme of study. However, where a student is exempt from part of a course, for example as the result of accredited prior learning (APL), the total FTE of the full-time course should be reduced accordingly.

4. The FTE for a foundation degree bridging course, as defined in Annex D, paragraphs 30 and 31, is 0.3.

5. Where a student does not complete a year of programme of study, the FTE should not be recorded on HESES. This is not consistent with the load returned on the HESA record. When comparing the HESA student record with HESES, we will make adjustments to the load returned to HESA to reflect years not completed.

6. Where it is already known that full-time students have changed or will change mode, within the year of programme of study, to become part-time students, the year of programme of study should be recorded as part-time only. Their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

Example 1

7. Duration of the course: a full-time course is studied over three years. The equivalent part-time course is studied over six years, and so would have an FTE of 0.5 in each year.

Example 2

8. Credit points: a full-time course is studied over three years with 120 credits taken each year. The equivalent part-time course lasts six years. Ninety credits are studied in each of the

first three years and 30 credits in each of the final three. The FTE would be 0.75 in each of the first three years and 0.25 in each of the final three.

Example 3

9. A student with APL enters directly on to the second year of a degree course and completes the final two years of the degree in four years. The final two years of a degree if completed full-time would have a total FTE of 2. Therefore, the total FTE for the student is 2 and the FTE in each year is 2 ÷ 4 = 0.5.

Example 4

10. A student who starts off as full-time but is known to be changing to part-time in the second term of the year of programme of study, studying at the same rate as a part-time student with an FTE of 0.5 per year of programme of study, should be returned on the part-time table with an FTE of 0.67. This is made up of 0.33 for the first term and 0.5 ÷ 3 = 0.17 for each of the second and third terms = 0.67 in total for the year of programme of study.

Annex F

Residential and funding status

Home and EC students

1. Students are classified as home and EC if they can be regarded as eligible students as defined in the Schedule of the Education (Fees and Awards) Regulations 1997 (SI 1997 No. 1972), as amended. The Education (Fees and Awards) Regulations can be found on the HMSO web-site – www.hmso.gov.uk under Legislation/United Kingdom/Statutory Instruments. A list of countries belonging to the EC is on the HEFCE web-site under Questions/HESES FAQs.

2. Students from countries that are in the European Economic Area (EEA) but not the EC (currently Iceland, Liechtenstein, Norway and Switzerland) will only be considered in the same way as home and EC students if they meet the criteria laid down in the above regulations. Students from Gibraltar should also be treated as if they were from a country in the EEA but not the EC.

3. Students from countries joining the EC during the 2003-04 academic year should be returned as 'Island and overseas' in HESES03. We will use HESA data as necessary to derive assumed numbers of students from these countries.

HEFCE-fundable students

4. Home and EC students are eligible for HEFCE recurrent funds for teaching (HEFCE-fundable) if they satisfy **all** of the following conditions:

   a. They are on courses of recognised HE, as defined in Annex C.

   b. The course is open to any suitably qualified candidate.

   c. The course is not being supported from any other EC public source. Where the fee plus income from a public source is insufficient to cover the HEFCE standard resource, then a proportion of the students on the course can be returned as HEFCE-fundable (see paragraph 6a).

5. Where a student is not subject to the regulated fees and the fee is being paid by a source other than an EC public source, the eligibility for funding does not depend on the level of fee charged.

6. The following students are **not** eligible for HEFCE recurrent funding for teaching (recorded as HEFCE non-fundable):

   a. Students on courses which would otherwise be HEFCE-fundable, but whose places are funded at the standard HEFCE rate, or higher, from another EC public source, such as the Department of Health, NHS, or the Home Office. In some cases an EC public source may provide funding that is in addition to the mandatory or recommended fees, pro rata for part-time students, but the funding falls significantly short of the HEFCE standard rate for the student. In this case, the total funds received in addition to the fees should be used to calculate the number of students which (for funding purposes) are assumed to be fully supported from other EC public sources, with the remaining students being eligible for HEFCE recurrent funding. A template is available on the HEFCE web-site under Questions/HESES FAQs to help determine fundability status in these cases.

b. Students registered on courses that are not funded through HEFCE recurrent funds for teaching, but whose funding has been separately agreed and notified by us. This includes some prototype foundation degrees (see the description of the fundability status of prototype foundation degrees in paragraphs 7 and 8 below), and courses where we distribute funds on behalf of other government departments.

c. Students on initial teacher training (ITT) courses which lead to qualified teacher status (QTS); and all students holding QTS who are on an in-service education of teachers (INSET) course. This will include students transferring from courses where funding has been provided by the Teacher Training Agency (TTA) for the whole year.

d. Students on pre-registration nursing or midwifery degrees and courses (including postgraduate courses) leading to a recognised professional qualification in dietetics, speech and language therapy, chiropody/podiatry, or prosthetics and orthotics.

e. Students franchised to an institution that is not either:

- an HEI supported from public funds, or
- an FEC supported from public funds

except where specific approval has been given. Institutions must ensure that all franchises to any other organisation have been specifically approved by HEFCE before students are returned as HEFCE-fundable on HESES. Institutions should reapply if there is a material change in the arrangement.

f. Students on closed courses. These are courses that are restricted to certain groups of people and are not generally available to **any** suitably qualified candidate. For example, where a course is only available to employees of particular companies, that course is closed.

Foundation degrees

7. Some home and EC students on foundation degrees should be returned as HEFCE-fundable, while others need to be reported as non-fundable. All should be separately identified on Table 6. A more detailed definition of a foundation degree can be found in Annex K, paragraph 13. Foundation degrees which fit the criteria in paragraph 4 above are HEFCE-fundable unless they fit **all** of the following criteria:

a. They are prototype foundation degree programmes which were awarded development funds in December 2000 and were listed in HEFCE 01/40 'Foundation degrees: report on funded projects', Annex B 'Summaries of prototypes'.

b. Their funding has been agreed separately, is in addition to the development funds and is shown in the grant tables in Table B, as issued on 30 July 2003 or as amended, against 'Funding for prototype foundation degree places'.

8. If they fit the criteria in (a) and (b) above, students should be returned as non-fundable. Where the funding provided (as shown in Table B of the grant tables under total recurrent funding for prototype foundation degrees) is insufficient to cover funding for all students, some students should be returned as fundable. There is a template on the HEFCE web-site – under Questions/HESES FAQs – which will calculate the funding associated with the students to help determine how many, if any, of the excess students should be returned as HEFCE-fundable.

Postgraduate research students

9. Postgraduate research students are returned on both HESES03 and the Research Activity Survey. In their first year (first and second year for part-time students), postgraduate research students who are fundable should be returned as such on HESES03. Fundable postgraduate research students in the second (third for part-time) and subsequent years of programme of study are not funded under our teaching funding method and should therefore be recorded as non-fundable on HESES03. However, these students should continue to be returned as fundable on the HESA record and included on the Research Activity Survey.

10. For the purposes of HESES03, research students cannot retake years. Where a student initially registers for an intermediate qualification such as an MPhil and then converts to a PhD, without being awarded the initial qualification, the year of programme of study should not be reset.

Determining the number of students supported from other EC public funds

11. The public funding should first be used to offset any shortfall between the fees charged and the assumed fees. Once this offset has taken place, any remaining public funding should be divided by the standard funding per student and rounded up to the nearest whole number to find how many students are non-fundable; the remainder are then fundable. The standard funding per student is calculated as the standard resource minus the assumed fee. Standard resource is explained in paragraphs 23-25 below. Note that, in the examples, the assumed fee per FTE for part-time undergraduates is £830.

12. There is an Excel template on the HEFCE web-site under Questions/HESES FAQs, which will calculate the number of students who are non-fundable in individual cases.

Example 1

13. There are 10 full-time undergraduate students supported by £11,250 from a public source. The students are not charged a fee and there is no other income. The assumed fees are £1,125 per student, so the public money only covers the fees and all students are fundable.

Example 2

14. There are 10 full-time undergraduates, all in price group C. The fees for each year are £1,125 paid by either the Student Loans Company (SLC), the student, or a mixture of the two. In addition, a public source puts in £1,000 per student. The assumed fees are fully met by the fees charged, so there is no offset. The standard funding per student is the standard resource (1.5 × £2,808 = £4,212) – assumed fee (£1,125) = £3,087. There is £10,000 additional public money (10 × £1,000). Therefore four students (£10,000 ÷ £3,087 = 3.2) are non-fundable, and the remaining six are fundable.

Example 3

15. There are 50 part-time undergraduate students in price group C, each with an FTE of 0.5, who pay £100 a year tuition fee, and there is £30,000 from a public source. The assumed fee for each student is 0.5 × £830 = £415. There is £315 (£415 – £100) per student in tuition fees to make up using the public money, which uses 50 × £315 = £15,750. This leaves £14,250 of the public money. The standard funding per student is the standard resource (0.5 × 1.5 × £2,808 = £2,106) – assumed fee (£415) = £1,691. Therefore nine students (£14,250 ÷ £1,691 = 8.4) are non-fundable, and 41 are fundable.

Example 4

16. As in example 3, but the fees are £500 a year all paid by the student. Each student pays a tuition fee which is greater than the assumed fee, so there are no tuition fees to make up using the public money. There is £30,000 public money and the standard funding per student is £1,691. Therefore 18 students (£30,000 ÷ £1,691 = 17.7) are non-fundable, and 32 are fundable.

Example 5

17. There are 10 full-time postgraduate students entirely in price group C. The fees for the year are £3,000; a public body pays half of the fee and the student pays the other half. The assumed fees are £2,940, which leaves £60 (£3,000 – £2,940) of public money per student. The standard funding per student is the standard resource (1.5 × £2,808 = £4,212) – assumed fee (£2,940) = £1,272. There is £600 additional public money (10 × £60). Therefore one student (£600 ÷ £1,272 = 0.5) is non-fundable, and the remaining nine are fundable.

HEFCE-funded and independently-funded students

18. All fundable students should be recorded as HEFCE-funded, unless the institution receives enough resources from other sources (other than EC public sources), for the year of programme of study, to cover the HEFCE standard resource for their provision. In such cases the institution may choose to record the student as independently-funded. Independently-funded students are not included in our resource calculations but may count towards student number targets.

Example 1

19. There are 20 HEFCE-fundable full-time postgraduate students, in price group C. Each student pays £4,500 tuition fees. The standard resource is (1.5 × £2,808) = £4,212. Therefore the standard resource is fully covered by the fee paid by the student. In this case, the institution can choose to record the students either as HEFCE-funded or as independently-funded.

Example 2

20. There are 20 HEFCE-fundable part-time postgraduate students, 0.6 FTE, in price group B. Each student pays £3,000 tuition fees. The assumed fee for each student is 0.6 × £2,808 = £1,684.80, which leaves £1,315.20 per student. The standard funding per student is the standard resource (0.6 × 2 × £2,808) – assumed fee (£1,684.80) = £1,684.80. There is 20 × £1,315.20 = £26,304 remaining from the fees paid by the students. Therefore, the college can choose to return up to 15 students (£26,304 ÷ £1,684.80 = 15.6) as independently-funded, with the remaining students returned as HEFCE-funded.

HEFCE non-fundable students

21. These are students who are home and EC, as defined in paragraphs 1-3, but whose place is not considered eligible for recurrent funding for teaching as defined in paragraphs 4-12 above.

Island and overseas students

22. All students who fall outside the definition of home and EC in paragraphs 1-3 should be recorded as 'Island and overseas'. This will include students usually resident in the Channel Islands and Isle of Man, and those students from countries expected to join the EC in the 2003-04 academic year.

Calculation of standard resource

23. If a student attracts a premium under the teaching funding method, the standard resource should be increased to reflect this. We notified institutions of these premiums in Table F of their funding agreement. For the current year, 2003-04, there is one student-related premium (long courses), and five institution-related premiums (London weighting, pensions, and variable premiums for specialist institutions, small institutions, and old and historic buildings). The total weighted student FTE is the sum of the subject-weighted FTE and the additional FTE from all premiums. Examples of the calculations are given in paragraphs 26-29 below.

Factor	Premium	Applied to
Long course (not price group A)	25%	Subject-weighted FTE
London (inner)	8%	Subject-weighted FTE
London (outer)	5%	Subject-weighted FTE
Pensions	1.5%	Subject-weighted FTE
Specialist institutions	Variable	Subject-weighted FTE
Small institutions	Variable	Unweighted FTE
Old and historic buildings	Variable	Unweighted FTE

24. The subject weights are shown below.

Price group	Subject weight
A (Clinical)	4.5
B (Laboratory-based science, engineering and technology)	2.0
C (Other high cost subjects with a studio, laboratory or fieldwork element)	1.5
D (All other subjects)	1.0
Psychology*	1.0 or 2.0
Media studies*	1.0, 1.5 or 2.0

* Proportions in each subject weight are notified in Table F of the funding agreement for each institution.

25. The 2003-04 standard resource for a student is calculated by multiplying the total weighted FTE by £2,808 (the base level of resource for price group D).

Example 1

26. The standard resource for a part-time student (0.4 FTE) in price group C is £1,684.80:

Subject weight	0.4 × 1.5	= 0.60
Resource		**= 0.60 × £2,808 = £1,684.80**

Example 2

27. The standard resource for a part-time student (0.3 FTE) on a long course in price group C is £1,579.50:

Subject weight	0.3 × 1.5	= 0.4500
Long course premium	0.3 × 1.5 × 25%	= 0.1125
Resource		**= 0.5625 × £2,808 = £1,579.50**

Example 3

28. The standard resource per FTE in price group B for a student at an institution receiving the inner London premium is £6,065.28:

Subject weight	1.0 × 2.0	= 2.00
Inner London premium	1.0 × 2.0 × 8%	= 0.16
Resource		**= 2.16 × £2,808 = £6,065.28**

Example 4

29. The standard resource of a full-time student who undertakes 60 per cent of their work in price group B and 40 per cent in price group D is £4,492.80:

Subject weight (price group B)	1.0 × 60% × 2.0 = 1.20
Subject weight (price group D)	1.0 × 40% × 1.0 = 0.40
Resource	**= 1.6 × £2,808 = £4,492.80**

Annex G

Price groups

1. Price groups are defined in terms of academic cost centres. Full details of how to assign departments to cost centres are in the forthcoming circular letter 'Assigning departments to academic cost centres: 2003-04'.

Cost centre	Price group(s)
01 Clinical medicine	A, B
02 Clinical dentistry	A, B
03 Veterinary science	A
04 Anatomy and physiology	B
05 Nursing and paramedical studies	C
06 Health and community studies	C
07 Psychology and behavioural sciences	Psychology
08 Pharmacy	B
09 Pharmacology	B
10 Biosciences	B
11 Chemistry	B
12 Physics	B
13 Agriculture and forestry	B
14 Earth, marine and environmental sciences	B
15 General sciences	Not used
16 General engineering	B
17 Chemical engineering	B
18 Mineral, metallurgy and materials engineering	B
19 Civil engineering	B
20 Electrical, electronic and computer engineering	B
21 Mechanical, aero and production engineering	B
22 Other technologies	Not used
23 Architecture, built environment and planning	C
24 Mathematics	C
25 Information technology and systems sciences	C
26 Catering and hospitality management	C
27 Business and management studies	D
28 Geography	C
29 Social studies	D
30 Librarianship, communication and media studies	Media studies
31 Language based studies	D
32 Humanities	D
33 Design and creative arts	C
34 Education	C, D
35 French, Spanish and German modern languages	C
36 Other modern languages	C

37 Archaeology	C
38 Sports science and leisure studies	C, D
39 Computer software engineering	B
41 Continuing education	D
99 Outside reporting institution	D

Price group	**Cost centres**
A	01*, 02*, 03
B	01*, 02*, 04, 08, 09, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, 21, 39
C	05, 06, 23, 24, 25, 26, 28, 33, 34*, 35, 36, 37, 38*
D	27, 29, 31, 32, 34*, 38*, 41, 99
Psychology	07
Media studies	30
ITT (QTS)	Courses of ITT leading to QTS (TTCID=1)[1]
INSET (QTS)	Courses for teachers (TTCID=3), where the student has QTS

* For definitions see below.

Cost centres in more than one price group

Clinical medicine and clinical dentistry – cost centres 01 and 02

2. Undergraduate years of programme of study recorded in price group A must be generated by clinical medical or clinical dental students. Years of programme of study for clinical medical or clinical dental undergraduate students should be entirely attributed to price group A, irrespective of any activity in academic cost centres. All other undergraduate load in cost centres 01 and 02 should be returned in price group B.

3. An undergraduate clinical medical student is any student on the final three years of a first registrable medical qualification taken:

a. After the pre-clinical part of the course.
b. After a free-standing pre-clinical course.
c. As part of an integrated pre-clinical and clinical course.

4. An undergraduate clinical dental student is any student on the final four years of a first registrable dental qualification taken:

a. After the pre-clinical part of the course.
b. After a free-standing pre-clinical course.
c. As part of an integrated pre-clinical and clinical course.

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[1] Teacher training course identifier on the HESA student record

5. In order to be included in price group A, clinical medical and clinical dental postgraduate taught students must also be on courses which meet the following three criteria:

a. The course bears very high costs comparable to the clinical unit of resource.

b. A substantial proportion of the staff teaching time contributed to the course is provided by medically or dentally qualified university-funded clinical academic staff, who hold honorary contracts with the NHS. This includes general practitioners.

c. The course is normally taught in a clinical environment.

6. For research students to be included in price group A, the focus of their research must be in a clinical environment and the lead supervisor should be a clinical academic.

7. Where, and only where, a postgraduate course meets the criteria set out above, the subject of qualification aim should be coded as clinical (A3 or A4) on the HESA student record.

8. All other postgraduate activity in cost centres 01 and 02 should be recorded in price group B.

Education – cost centre 34, ITT and INSET courses

9. Students on ITT (QTS) courses should be entirely attributed to the ITT (QTS) price group, irrespective of any provision in academic cost centres. Students on ITT courses that do not lead to QTS, such as postgraduate certificates in education (PGCEs) for the post-compulsory education sector (TTCID=2), should be entirely attributed to price group C, irrespective of any provision in academic cost centres.

10. Students holding QTS on INSET courses should be entirely attributed to the INSET (QTS) price group, irrespective of any provision in academic cost centres and whether or not the TTA is funding the course. Students on INSET courses who do not hold QTS should be attributed to price groups in the same way as other students. INSET courses are defined as courses for which the primary (but not necessarily the only) purpose is to improve the effectiveness of teachers, lecturers or trainers.

11. All other activity in cost centre 34 that is not ITT or INSET should be returned in price group D.

Sports science and leisure studies – cost centre 38

12. Departments of sports-related subjects – including sports science, sport and exercise sciences, sports and leisure studies, sports and leisure management, and physical recreation (non-QTS) – should be allocated to price group C where there is significant use of well-equipped sports science laboratories and/or sports facilities. A detailed definition of the threshold criteria can be found in HEFCE Circular Letter 38/98, 'Allocation of education and

sports-related provision to price bands'. All other sports-related departments should be returned in price group D.

Veterinary science

13. All, and only, veterinary science provision which leads to eligibility to register to practise as a veterinary surgeon should be entirely attributed to price group A, irrespective of any activity in academic cost centres.

Allocation of years of programme of study to price groups

14. Years of programme of study are split between cost centres, based on either the cost centres in the module portion of a student/module return made to HESA, or the cost centre information in fields 100 to 147 of a combined record. In either case this is referred to as the module portion.

15. Except where noted in paragraphs 2-13 above, years of programme of study should be allocated to price groups according to the mix of cost centres in which activity takes place. Student load is allocated to cost centres according to the cost centre of the member of staff teaching the module or supervising the activity. This will be described by the module portion in the HESA student record. Where the activity for a year of programme of study falls into more than one cost centre, and these cost centres do not fall entirely within one price group, the year should be split among the price groups according to the weights attached to the modules. Up to two decimal places may be used for this apportionment.

16. Where students are franchised-out for all or part of their provision, they should be returned in an academically cognate cost centre(s). For example, if an engineering student is taught business studies under a franchise arrangement, then the portion franchised-out should be returned under business and management studies. The provision franchised-out may not be naturally attributable to a cost centre in which the institution is usually active. In this case institutions should create a virtual cost centre in which this activity and its related expenditure are returned. If institutions return such activity using cost centre 99 on the HESA record it will be treated as if it falls into price group D.

17. Institutions should ensure that where a student's provision does not fall entirely within a single cost centre and subject pairing, this is clearly identified on the HESA student record. The HESA student record links subjects and cost centres to students – either through the subjects and cost centres associated with the modules attached to the student, or through a sequence of cost centre subject pairs where a combined record is submitted. In January 2004 we will compare the load returned to cost centres with both:

- the load returned on HESES and
- the HESA subject of study.

Example 1

18. An engineering student studies engineering in the engineering department and also studies some management in the business and management department. The cost centre of each department along with the subject studied is separately identified on the HESA student record. For HESES purposes this would be returned in price groups B and D.

Example 2

19. An engineering student studies engineering in the engineering department and also studies some management in the engineering department. The engineering department is split between two cost centres, one for its engineering provision, one for its management provision. Each cost centre and subject studied is identified separately on the HESA student record. For HESES purposes this would be returned in price groups B and D.

Example 3

20. An engineering student studies engineering in the engineering department and also studies some management in the engineering department. The department has only one cost centre as the management provision represents a very small proportion of its activity. Both subjects studied are identified separately on the HESA student record. For HESES purposes this would all be returned in price group B.

Annex H
Mode of study

Full-time and sandwich

1. A year of programme of study is counted as full-time and sandwich if it meets the following criteria:

   a. The student is normally required to attend the institution, or elsewhere, for periods amounting to at least 24 weeks within the year of programme of study; and during that time they are normally expected to undertake periods of study, tuition or work experience which amount to an average of at least 21 hours per week.

   b. A full-time fee is chargeable for the course for the year. These include:

      i. Regulated £1,125 for undergraduates, and students registered for a PGCE.

      ii. Regulated £550 for undergraduates on courses provided in conjunction with overseas institutions that are not SOCRATES/ERASMUS exchanges, where study at the institution is for less than 10 weeks.

      iii. Regulated £0 (nil) for undergraduates who are on full-year outgoing SOCRATES/ERASMUS exchanges.

   In some individual cases all or part of the fee may be waived.

2. This includes all full-time, sandwich, and language year abroad students, other than those falling within the definition of 'Full-time sandwich year-out' given below.

Full-time sandwich year-out

3. A year of programme of study is counted as sandwich year-out if it includes a period of work-based experience and it meets both the following criteria:

   a. The course falls within the definition of sandwich in Regulation 5(2) of the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200). (This includes language year abroad courses where the year abroad is spent working.)

   b. The fees are either those described in paragraphs (c) or (f) of Regulation 11(1) of the above regulations, or approximately half of the full-time fees that would be chargeable if the student were full-time.

Part-time

4. A year of programme of study is counted as part-time if it does not meet the requirements to be either full-time or full-time sandwich year-out.

5. In general, all students on a given course with a broadly similar pattern of activity, for a given year of programme of study, should be recorded as having the same mode.

6. In some cases a student's mode of study changes between years. For example,

the mode of a student on a full-time 18-month course would change from full-time in year one to part-time in year two, where the second year does not have 24 weeks of study. In this case the student's activity would be recorded as 'other full-time' in year two on the HESA record.

Students who change from full-time to part-time within a year of programme of study

7. Where it is already known that full-time students have changed or will change mode, within the year of programme of study, to become part-time students, the year of programme of study should be recorded as part-time only. Their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

8. For example, a student who starts off as full-time but is known to be changing to part-time in the second term of the year of programme of study, studying at the same rate as a part-time student with an FTE of 0.5 per year of programme of study, should be returned on the part-time table with an FTE of 0.67. This is made up of 0.33 for the first term and $0.5 \div 3 = 0.17$ for each of the second and third terms = 0.67 in total for the year of programme of study. More guidance on assigning student load for part-time years of programme of study can be found in Annex E.

Annex I

Level of study

Undergraduate

1. Undergraduates are students studying towards a first degree (including foundation degree), HE certificate or diploma, or equivalent, or students registered for an institutional credit that can be counted towards one of these qualifications.

2. Table 5 collects data on undergraduates who are aiming for a qualification below degree level, such as those aiming for an HND, HNC, DipHE or CertEd. Table 6 collects data on undergraduates who are aiming for a foundation degree or are on a foundation degree bridging course. The undergraduate data on Table 7 are split between:

- students on courses below undergraduate degree level, plus those on foundation degrees and foundation degree bridging courses
- students on an undergraduate degree (not including foundation degrees and foundation degree bridging courses).

3. Where a student registers for credits (including Ufi courses) without stating a qualification aim, and where those credits may count towards either a degree or a qualification below degree level, they should be counted as below degree level.

Postgraduate

4. Postgraduate students are registered for courses or credits where a normal condition of entry is that entrants are already qualified to degree level, that is already qualified at level H of the Quality Assurance Agency for Higher Education (QAA) national qualifications framework. There are two groups: research and taught.

> a. Postgraduate research students are students whose qualification aim is a research-based higher degree. In accord with normal practice in the English higher education sector, a higher degree by research should be awarded primarily on the basis of a substantial thesis (or equivalent) submitted by the student and resulting from the student's original research. Regulations on the appointment of examiners for the degree should stipulate that the student's work is examined by at least two examiners appointed individually for the student, one of whom is an external examiner. An exception is allowed for departments that were highly rated in the 2001 Research Assessment Exercise, where it may be that the two best-qualified examiners are both internal. This definition is the same as that used in the Research Activity Survey.
>
> b. Postgraduate taught students are those who are postgraduates but do not meet the requirements to be a research student.

Annex J

Long years of programme of study

1. For full-time courses, the year of programme of study will be classified as 'long' if:

   a. Students are normally required to attend for 45 weeks or more within that year, or
   b. The year of programme of study includes a within-course short period of study, awarded as a summer school through an additional student numbers bidding exercise.

2. When determining length, students are deemed to be attending the institution if they are actively pursuing full-time studies towards the qualification aim. Years of programme of study that are not long are referred to as standard length.

3. If the year of programme of study is 45 weeks or more in length because of a period of work-based study, then the year of programme of study is not counted as long.

4. For part-time courses, the distinction will depend on the length of each year for an equivalent full-time course. The number of weeks attended within the year of programme of study for part-time students is irrelevant to determining if the year of programme of study is long. The equivalent full-time course used should be the same as that used in calculating the FTE.

5. For undergraduate students, long courses will typically be accelerated programmes where the qualification aim is achieved in a much shorter period than is normal for that qualification aim.

6. For postgraduate students, most long courses will be for higher degrees.

Example 1

7. A full-time one-year course has a 30-week year of programme of study; the equivalent part-time course lasts for two years, each with a 45-week year of programme of study. The part-time course would not be long. Conversely, if each year of the part-time course lasts for 30 weeks, but the year of programme of study for the full-time course is 45 weeks, then the part-time course is classified as long. The FTE for the part-time course would be 0.5 in both cases.

Example 2

8. A student completes a two-year full-time foundation degree, and then chooses to undertake a foundation degree bridging course over the summer in order to enrol full-time on the third year of an honours degree. In this case both years of the foundation degree and the third year of the honours degree should be recorded as standard length; and the foundation degree bridging course should be recorded separately as a stand-alone part-time course. The FTE would be 1, 1, 0.3 and 1 respectively.

Mixed length courses

9. In some cases a full-time course may have one or more years of programme of study which are long, with one or more standard length years. When determining which load to return as long for the equivalent part-time course, the following two principles should be applied:

a. The FTE over the entire course should be identical to that of the full-time course.
b. The proportion of the FTE recorded as long should be the same on both the full-time and part-time programmes.

Example 1

10. A two-year full-time course has year one long and year two standard length. The equivalent part-time course runs over four years. The first two years of the part-time course should be recorded as long, with the remaining two recorded as standard length. The FTE would be 0.5 in each of the four years.

Example 2

11. A two-year full-time course has year one long and year two standard length. The equivalent part-time course lasts two and a half years. If the FTE is 0.8, 0.8 and 0.4 respectively in each year, then the second principle in paragraph 9 above means that 50 per cent of the FTE should be recorded as long. This can be achieved by recording all first year load as long, and half of the final year as long, with the remaining year recorded as standard length.

Annex K
Table descriptions

Tables 1a, 2 and 3 – Counts of years of programme of study and student load

1. Tables 1a, 2 and 3 correspond to the three modes of study defined in Annex H. These tables are mutually exclusive, and taken together should sum to the total number of years of programme of study countable for the academic year.

Table 1b – Medical and dental student counts

2. Table 1b is a subset of Table 1a and contains all full-time undergraduate students on programmes of study that normally lead to a first registrable medical or dental qualification. Years of programme of study returned in this table should also be included in Table 1a.

3. Years of programme of study should be classified according to which year of the course they are. Intercalated years should not be returned on this table and should be disregarded when determining the year of programme of study of a medical or dental course. Where a student studies for an integrated first degree and first registrable medical or dental qualification, the study towards the first degree should be treated as falling entirely in the pre-clinical years.

4. Pre-clinical medicine: all years of programme of study that are not classified as clinical medicine and are not an intercalated year.

5. Clinical medicine: the final three years of programme of study of a course leading to a first registrable medical qualification.

6. Pre-clinical dentistry: all years of programme of study that are not classified as clinical dentistry and are not an intercalated year.

7. Clinical dentistry: the final four years of programme of study of a course leading to a first registrable dental qualification.

8. The treatment of medical and dental students on HESES does not necessarily reflect how the programme is delivered.

Table 4 – Home and EC fees

9. The data returned in Table 4 must match the home and EC data returned in Columns 1 and 2 of Tables 1a, 2 and 3. Table 4 contains the number of years of programme of study for all modes, split between those countable on or before 1 December 2003, and those expected to become countable between 2 December 2003 and 31 July 2004, for home and EC students only. Island and overseas students should **not** be returned on Table 4.

Table 5 – Counts of years of programme of study for provision leading to qualifications below degree level

10. The data returned in Table 5 are a subset of the undergraduate data collected in Columns 1 and 2 of Tables 1a, 2 and 3. Table 5 contains the number of years of programme of study for all modes, split between those countable on or before 1 December 2003, and those expected to become countable between 2 December 2003 and 31 July 2004, for provision for qualifications below degree level. Foundation degrees and foundation degree bridging courses should not be returned in this table, but in Table 6.

11. Provision below degree level includes HND, HNC, DipHE and CertEd courses. Where a student registers for credits (including Ufi courses) without stating a qualification aim, and where those credits may count towards either a degree or a qualification below degree level, they should be counted on this table.

Table 6 – Counts of years of programme of study and student load for foundation degrees and foundation degree bridging courses

12. The counts of years of programme of study returned in Table 6 are a subset of the undergraduate data collected in Columns 1, 2 and 5 of Tables 1a and 3. Table 6 contains the number of years of programme of study for all modes and load for part-time students, split between those countable on or before 1 December 2003, and those expected to become countable between 2 December 2003 and 31 July 2004, for students on foundation degrees and foundation degree bridging courses.

13. Students should only be recorded with a qualification aim of a prototype or non-prototype foundation degree if they are on a two-year full-time HE course, or the part-time equivalent, which has been validated by an HEI as a 'foundation degree'. Institutions are expected to have incorporated the core features set out in the foundation degree prospectus, HEFCE 00/27. Prototype foundation degrees are those programmes which were awarded development funds in December 2000 and are listed in Annex B of HEFCE 01/40. All other foundation degrees should be returned as non-prototype. See Annex F, paragraphs 7 and 8, for information about the fundability status of foundation degrees.

14. Students should only be recorded against a bridging course if they aim to complete a foundation degree bridging course that is countable for 2003-04. Foundation degree bridging courses are taken after completing a foundation degree to enable students to join the final year of an honours degree. A description of foundation degree bridging courses is in Annex D, paragraphs 30 and 31.

Table 7 – Counts of years of programme of study split between home and others entitled to pay home and EC fees (both HEFCE-fundable and non-fundable)

15. The counts of years of programme of study in Table 7 are the same as those collected in Columns 1, 2 and 5 of Tables 1a, 2 and 3. Table 7 contains the number of years of programme of study for all modes, split between home students and other students entitled

to pay home and EC fees. Home students are defined by the DOMICILE field on the HESA student record (that is, codes 5826, 6826, 7826 and 8826 for England, Wales, Scotland and Northern Ireland respectively). The data for EC students, when added to the home data, should give the totals of all home and EC students returned in Columns 1, 2 and 5 of Tables 1a, 2 and 3. Both HEFCE-fundable and non-fundable data are required in this table, but not island and overseas data.

16. The levels of qualification are grouped differently in this table than in the others. Students on foundation degrees and foundation degree bridging courses should be included in 'below UG degree level', not in 'UG degree'.

Annex L

Description of columns in tables

1. All numbers returned on all tables should be counts of years of programme of study **apart** from where FTEs are required (in Column 4a on Table 3 and where explicitly identified on Table 6).

Tables 1a, 1b, 2 and 3 – Counts of years of programme of study and student load

2. Column 1: Number of years of programme of study countable between 1 August 2003 and 1 December 2003 inclusive. If a year of programme of study has been classified as a non-completion, as defined in Annex D, on or before 1 December 2003, it should not be returned.

3. Column 2: Number of years of programme of study expected to become countable between 2 December 2003 and 31 July 2004 inclusive. Guidance on when years of programme of study become countable is given in Annex D.

4. Column 3: Number of years of programme of study which students will fail to complete after 1 December 2003. This is an estimate of the number of years of programme of study that have been returned in Columns 1 and 2 but will not be completed – according to the definition given in Annex D. Numbers of non-completions should be entered as negative values in the workbook. Institutions should ensure that these estimates are supported by historical data. See Annex R for details about common errors made in the estimation of non-completions, discovered as part of our audit of HESES02.

5. Column 4: Overall assumed completed years of programme of study for the academic year. This is the sum of the first three columns; the addition will be carried out automatically in the workbook. This is an estimate of the number of years of programme of study which will be undertaken and completed in the academic year.

6. Column 4a (Table 3 only): Assumed load for the academic year. This is the sum of the FTE for the years of programme of study returned in Column 4.

7. Column 5: Number of new entrants. This is all years of programme of study returned in Columns 1 and 2 which are the first year of a course. A definition of new entrants is included in Annex D.

8. Column 6: Number of years of programme of study returned in Columns 1 and 2 for home and EC fundable students who are wholly or partially franchised-out, or who are part of a HEFCE-recognised funding consortium where the institution is the lead institution (see Annex B), broken down by the type of institution involved in the arrangement. Students should only be recorded as franchised-out to 'Other inst' where we have given approval for the franchising arrangement for the specific programme of study. The student count, and not the proportion of the year of study franchised, should be returned where the student is partially franchised-out.

9. When determining whether a student is wholly or partially franchised-out, the franchise arrangement for the year of programme of study and not the whole course should be used. For example, a student on a two-year course, which is franchised-out for the whole of the first year only, would be returned as wholly franchised-out for the first year and not included in the franchised-out column in the second year. A student on a two-year course who is franchised-out for six months in each of the two years would be returned as partially franchised-out in each of the two years.

10. The number of countable years returned for students who are part of a consortium should only be for HEFCE-recognised funding consortia, defined in Annex B, paragraphs 14 and 15. All other collaborative arrangements should be returned as franchises.

Table 4 – Home and EC student fees

11. Table 4 collects information about tuition fees for home and EC students included within Columns 1 and 2 of Tables 1a, 2 and 3. In general, fee levels are an attribute of the course, not of the individual student. This means, for example, that a student who is on a course designated for student support purposes, but who is not personally eligible for a grant for fees payable by the SLC, should still be returned against the appropriate regulated fees category. Students on pre-registration courses for which an NHS bursary may be payable, those on outgoing SOCRATES/ERASMUS full-year exchanges, and students on foundation degree bridging courses, should be identified separately.

12. Regulated fees are those defined in Regulation 11 of the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200). They can be found on the HMSO web-site – www.hmso.gov.uk, under Legislation/United Kingdom/Statutory Instruments. In general, the fees are:

a. Regulated £1,125 – full-time and sandwich undergraduate courses (where the student is not on their year-out) and full-time PGCE courses.
b. Regulated £550 – undergraduates following full-time and sandwich courses who are on their sandwich year-out, students on a non-SOCRATES/ERASMUS study-related year abroad, and part-time ITT courses.
c. Regulated £0 (nil) – outgoing SOCRATES/ERASMUS full-year exchange students only.

Also identified separately on Table 4:

d. NHS bursaried courses – students on pre-registration courses for which an NHS bursary may be payable.
e. Foundation degree bridging courses – students on a foundation degree bridging course.

13. Years of programme of study should be returned under the fee level 'Non-regulated' where the course the student is studying for is not designated under Regulation 5 of the Education (Student Support) Regulations.

Part-time or postgraduate students subject to regulated fees

14. The only part-time students who should be recorded as being subject to regulated fees are those:

a. On part-time ITT courses, such as first degrees leading to QTS, PGCEs and CertEds.
b. Attending the final year of a designated course which is ordinarily completed in less than 15 weeks.
c. Attending the final year of a designated course which is ordinarily completed in 15 weeks or more but less than 24 weeks.

In cases b and c, the students should be recorded as subject to regulated £550 fees and regulated £1,125 fees respectively.

15. Part VIII of the Education (Student Support) (No. 2) Regulations 2002 makes provision for the support of students attending 'designated part-time courses' of HE, through a £500 loan. Students on such part-time courses should still be returned under 'non-regulated' fees, as these courses are not explicitly designated under Regulation 5.

16. The only postgraduate students who should be recorded as being subject to regulated fees are those:

a. On a full-time or part-time PGCE. Such students should be recorded as subject to the regulated £1,125 or regulated £550 fees, respectively.
b. On a full-time course in preparation for a professional examination at postgraduate level, for which a first degree is not a normal requirement for entry. This applies to students on a course leading successively to Parts 1 and 2 of the Royal Institute of British Architects examination, for whom undergraduate level fees are payable. Such students should be recorded as subject to regulated £1,125 fees.

17. Column 1: Number of years of programme of study for home and EC students countable between 1 August 2003 and 1 December 2003 inclusive. The column is broken down by mode of study as defined in Annex H.

18. Column 2: Forecast of number of years of programme of study for home and EC students expected to become countable between 2 December 2003 and 31 July 2004 inclusive. The column is broken down by mode of study as defined in Annex H.

Table 5 – Counts of years of programme of study for provision leading to qualifications below degree level

19. Only counts of years of programme of study which are for provision leading to qualifications below degree level should be recorded here. These are described in more detail below. Foundation degrees and foundation degree bridging courses should be recorded in Table 6, not Table 5.

20. Qualifications below degree level include HNDs, HNCs, DipHEs and CertEds. HNDs and HNCs should be returned against the appropriate row on the table. All other qualifications below degree level should be included in 'Other'. Apart from DipHEs and CertEds, 'Other' qualifications below degree level will include institutional credits and professional qualifications.

21. Column 1: Number of years of programme of study countable between 1 August 2003 and 1 December 2003 inclusive. This is a subset of the undergraduate data included in Column 1 of Tables 1a, 2 and 3. The column is broken down by mode of study as defined in Annex H.

22. Column 2: Forecast of number of years of programme of study expected to become countable between 2 December 2003 and 31 July 2004 inclusive. This is a subset of the undergraduate data included in Column 2 of Tables 1a, 2 and 3. The column is broken down by mode of study as defined in Annex H.

Table 6 – Counts of years of programme of study and student load for foundation degrees and foundation degree bridging courses

23. Only counts of years of programme of study and student load which are for provision leading to a foundation degree or foundation degree bridging course should be recorded here. These are explained in more detail below.

Foundation degrees

24. Foundation degrees are split into prototype and non-prototype foundation degrees. Prototype foundation degrees are programmes which were awarded development funds in December 2000 and are listed in Annex B of HEFCE 01/40. Details of the fundability status of prototype and non-prototype foundation degrees can be found in Annex F, paragraphs 7 and 8.

Foundation degree bridging courses

25. Foundation degree bridging courses are part-time stand-alone courses which are taken after a foundation degree is completed, in order to proceed on to the third year of an honours degree course. See Annex D, paragraphs 30 and 31.

26. Column 1: Number of full-time and sandwich and part-time years of programme of study and part-time student load countable between 1 August 2003 and 31 July 2004 inclusive. The years of programme of study are a subset of the undergraduate data included in Columns 1 and 2 of Tables 1a and 3.

27. Column 2: Number of full-time and sandwich and part-time years of programme of study and part-time student load of new entrants, defined as those who are on the first year of a course (see Annex D). These are subsets of the years of programme of study and student load returned in Column 1 of this table. The years of programme of study are also a subset of those of the undergraduate new entrants included in Column 5 of Tables 1a and 3.

28. The student load should reflect the total student load for the years of programme of study in this table, even where the student does not complete all of the year; that is, it should not be reduced to reflect non-completions. This differs from the student loads returned in Column 4a of Table 3.

Table 7 – Counts of years of programme of study split between home and others entitled to pay home and EC fees (both HEFCE-fundable and non-fundable)

29. Column 1: Years of programme of study countable between 1 August 2003 and 31 July 2004 inclusive (both HEFCE-fundable and non-fundable). These data are split by mode, then between home students and others entitled to pay home and EC fees. A definition of home students is in Annex K, paragraph 15. In total these data are the same as the home and EC data returned in Columns 1 and 2 of Tables 1a, 2 and 3.

30. Column 2: New entrants included in Column 1 of this table, defined as those who are on the first year of a course (see Annex D). These data are split by mode, then between home students and others entitled to pay home and EC fees. In total these data are the same as the home and EC data returned in Column 5 of Tables 1a, 2 and 3.

31. The levels of qualification are grouped differently in this table than in the others; namely, those on foundation degrees and foundation degree bridging courses should be included in 'below UG degree level', not in 'UG degree'.

Annex M

Links between HESA and HESES data

1. It is not possible to derive all HESES data directly from the HESA student record. The most recent mapping can be found in Annex C of HEFCE 2003/39 'Guide to the HESES02 re-creation web facility'. We do not anticipate changing this mapping substantially for comparisons with HESES03. However, as a result of a change introduced for HESES03, a number of minor amendments detailed below will be made.

2. In re-creating HESES03 for monitoring purposes for institutions that are the lead of a HEFCE-recognised funding consortium, we will source information for students registered at FECs from the LSC's ILR. The most recent mapping from ILR to HEIFES data is contained in Annex M of HEIFES02 (HEFCE 2002/41). Details of changes to this mapping are included in HEIFES03 (HEFCE 2003/45).

Updates to the mapping since HEFCE 2003/39

Dates

3. With the exception of references to 1998, when linking data between years all date-based calculations detailed in HEFCE 2003/39 will be rolled forward by one calendar year.

PRGA and PRGB

4. Clinical medicine, dentistry and veterinary science will be assigned to price groups as follows:

Field	Value	Description	Definition
PRGA	1	Clinical medicine	FUNDLEV = 10, 11 and QUALAIM = 18 and REGBODY = 01, 02 and CRSELGTH - YEARPRG = 0, 1, 2
PRGA	1	Clinical dentistry	FUNDLEV = 10, 11 and QUALAIM = 18 and REGBODY = 01, 02 and CRSELGTH - YEARPRG = 0, 1, 2, 3
PRGA	1	Veterinary science	QUALAIM = 18 and REGBODY = 14

Annex N

Validation checks

1. A number of validation checks are built into the Excel workbook. Validation cells above each column in each table in the workbook return **Validation: OK** if the data have passed validation. If data in a table fail validation, a message describing the error will be displayed below the table and the value(s) in the cell(s) causing the error(s) will turn red.

Tables 1a, 1b, 2 and 3

2. For each column, the total for each level (excluding the ITT (QTS) and INSET (QTS) price groups) must be a whole number (except for Column 4a on Table 3).

3. For each column, the ITT (QTS) and INSET (QTS) cells, where present, must contain whole numbers (except for Column 4a on Table 3).

4. For all cells except cells in Column 3, the value ≥ 0.

5. For all cells, Column 3 ≤ 0.

6. For each row, Column 5 ≤ Columns 1 + 2.

7. For Tables 1a, 2 and 3 only – for each row, Column 6 ≤ Column 1 ((a) + (b)) + Column 2 ((a) + (b)).

8. For Table 3 only – for each row, Column 4a ≤ Column 4.

9. For Table 3 only – for each row, Column 4a ÷ Column 4 ≥ 0.03.

10. For Table 1b only, all columns (clinical medicine + clinical dentistry) ≤ Columns 1 to 5 (price group A, undergraduate) on Table 1a.

11. For all cells, the value entered must be to no more than two decimal places.

Table 4

12. Each cell must contain a whole number.

13. For each level, excluding the ITT (QTS) price group, the total should equal the total in Tables 1a, 2 or 3 as follows:

Table 4		Table 1a
Column 1 (a)(i)	=	Column 1 (a) + (b)
Column 1 (a)(ii)	=	Column 1 (c)
Column 2 (a)(i)	=	Column 2 (a) + (b)
Column 2 (a)(ii)	=	Column 2 (c)
		Table 2
Column 1 (b)(i)	=	Column 1 (a) + (b)
Column 1 (b)(ii)	=	Column 1 (c)
Column 2 (b)(i)	=	Column 2 (a) + (b)
Column 2 (b)(ii)	=	Column 2 (c)
		Table 3
Column 1 (c)(i)	=	Column 1 (a) + (b)
Column 1 (c)(ii)	=	Column 1 (c)
Column 2 (c)(i)	=	Column 2 (a) + (b)
Column 2 (c)(ii)	=	Column 2 (c)

14. For each level, for the ITT (QTS) price group, the total should equal the total in Tables 1a or 3 as follows:

Table 4		Table 1a
Column 1 (a)(ii)	=	Column 1 (c)
Column 2 (a)(ii)	=	Column 2 (c)
		Table 3
Column 1 (c)(ii)	=	Column 1 (c)
Column 2 (c)(ii)	=	Column 2 (c)

Table 5

15. For each column, the total for each qualification aim (excluding the INSET (QTS) price group) must be a whole number.

16. For each column, the cells in the INSET (QTS) price group must contain whole numbers.

17. For each column and price group, the total should be less than or equal to the total for undergraduate level (standard length + long length) in Tables 1a, 2 or 3 as follows:

Table 5		Table 1a
Column 1(a) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(a) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)
		Table 2
Column 1(b) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(b) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)
		Table 3
Column 1(c) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(c) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)

18. For all cells, the value entered must be to no more than two decimal places.

19. For all cells, the value ≥ 0.

20. For each column, the combined total by price group of the corresponding cells in Tables 5 and 6 should be less than or equal to the equivalent cells in Tables 1a or 3 as follows:

Tables 5+6		**Table 1a**
Table 5, Column 1(a) – (i)+(ii), (iii), (iv) plus Column 2(a) - (i)+(ii), (iii), (iv) plus Table 6 Column 1(a) – (i), (ii), (iii)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
		Table 3
Table 5, Column 1(c) – (i)+(ii), (iii), (iv) plus Column 2(c) - (i)+(ii), (iii), (iv) plus Table 6 Column 1(b) – (i), (ii), (iii) (student numbers only)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)

Table 6

21. For each column and level, the total must be a whole number.

22. Each cell in Column 2 must be less than or equal to the equivalent cell in Column 1.

23. The total student numbers returned against 'bridging course' in Column 1, for home and EC students only, should be equal to the total returned against 'foundation degree bridging course' in Columns 1 and 2 of Table 4.

24. For all cells, the value ≥ 0.

25. For each column and price group, the total for each programme by level should be less than or equal to the total by level (standard length + long length) in Tables 1a or 3 as follows:

Table 6		**Table 1a**
Column 1(a) – (i), (ii), (iii)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 2(a) – (i), (ii), (iii)	≤	Column 5 – (a)+(b), (c), (d)
		Table 3
Column 1(b) – (i), (ii), (iii) (student numbers only)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 2(b) – (i), (ii), (iii) (student numbers only)	≤	Column 5 – (a)+(b), (c), (d)

26. For all cells, the value entered must be to no more than two decimal places.

27. For each column, the combined total by price group of the corresponding cells in Tables 5 and 6 should be less than or equal to the equivalent undergraduate cells in Tables 1a or 3, as in paragraph 20 above.

28. For each row, Column 1 (b) FTE ÷ Column 1 (b) student numbers ≥ 0.03.

29. For each row, Column 2 (b) FTE ÷ Column 2 (b) student numbers ≥ 0.03.

Table 7

30. For all cells, the value entered must be a whole number.

31. Each cell in Column 2 must be less than or equal to the equivalent cell in Column 1.

32. For Column 1(a), the totals for 'home' and 'other' together for 'below UG degree level' should be greater than or equal to the corresponding home and EC totals from Columns 1 and 2 of Table 5 and Column 1 of Table 6.

33. For Column 1(b), the totals for 'home' and 'other' together for 'below UG degree level' should be equal to the corresponding home and EC totals from Columns 1 and 2 of Table 5 and Column 1 of Table 6.

34. For both Columns 1 and 2, the totals for 'home' and 'other' together for 'below UG degree' and 'UG degree' together should be equal to the corresponding undergraduate home and EC totals from Columns 1, 2 and 5 of Tables 1a, 2 and 3.

35. For both Columns 1 and 2, the totals for 'home' and 'other' together for PGT and PGR should be equal to the corresponding home and EC totals from Columns 1, 2 and 5 of Tables 1a, 2 and 3.

36. For all cells, the value ≥ 0.

Annex O
Workbook notes

1. Workbooks with spreadsheet versions of the tables in Annex P will be available for download by institutions in November 2003. Vice-chancellors and HESES contacts will be issued with an organisation key (unique to your organisation) and a HESES03 group key (unique to the HESES03 survey) in November to access the workbook through a secure web-site, https://extranet.hefce.ac.uk. This year, for the first time, institutions will upload the completed workbook to the same web-site.

2. On viewing the welcome screen you will be asked to log in or register for access to the site. The first time that you visit, you must register. This involves typing in your e-mail address, your organisation key, your HESES03 group key and setting a password (at least 6 characters long). Whenever you visit the site after registration, you will only need to enter your e-mail address and password. Full details on how to use the site, your organisation and HESES03 keys, will be issued to vice-chancellors and HESES contacts in November.

3. You can then download the blank HESES03 template, and save it somewhere on your system (the template cannot be completed online).

4. The workbook will be saved in Excel 97 format and called HES___.xls, where the suffix identifies the institution. The workbook will contain eight worksheets, each with the same suffix as the workbook. These are as follows:

Name of worksheet	**HESES03 tables**
FTS____	Full-time and sandwich data. Table 1a.
MED____	Full-time and sandwich: Medical and dental student data. Table 1b.
OUT____	Sandwich year-out data. Table 2.
PT____	Part-time data. Table 3.
FEE____	Home and EC fees data. Table 4.
SUB____	Data on qualifications below degree level. Table 5.
FD____	Data on foundation degrees and foundation degree bridging courses. Table 6.
HEC____	Separate data on home and EC students. Table 7.

5. All labels and table formats will be protected. Institutions must not attempt to alter the format of the worksheets by adding or deleting columns or rows. Only cells where data are required should be altered. Worksheets contain information critical to accurate loading of the data; it is essential that this is preserved.

6. The following cells contain formulae, and must not be edited:

- column totals on all tables
- totals by level on Tables 1a, 2, 3, 4 and 7
- totals by qualification aim on Tables 5 and 6
- cells relating to the FTE of foundation degree bridging courses on Table 6
- Column 4 on Tables 1a, 1b, 2 and 3.

7. Each worksheet contains a number of validation checks, which are listed in Annex N. Institutions should ensure their data pass all validation checks before uploading them.

8. All worksheets returned should have the same name and format as those originally supplied. All worksheets in the workbook should be returned even if they contain no data.

9. Completed returns should be uploaded to the secure web-site no later than Tuesday 9 December 2003. We will confirm receipt of all submissions.

Annex P

Sample tables (see separate download)

Annex Q

HESES03 fundamentals

1. This annex is a summary of the HESES guidance and should be used in conjunction with the other annexes.

Which students are in the HESES population?

2. A definition of the HESES population is given in Annex B. The population includes students who meet **all** of the following criteria:

    a. They are actively pursuing studies with the institution for at least part of the academic year 2002-03. This includes outgoing exchange students.

    b. They are studying towards a recognised HE qualification aim, or a credit that can be counted towards one.

    c. They have an individual record returned on the HESA student record or the LSC ILR.

    d. They are not being returned on any other institution's HESES or HEIFES return for that year of programme of study.

3. Students spending most of their time for the whole course outside the UK should not generally be included in the population.

Are they countable on this year's HESES?

4. A year of programme of study for a student within the HESES03 student population must meet the following criteria to be counted:

    a. A tuition fee is charged (the fee may be waived).

    b. The FTE for the year of programme of study is at least 0.03.

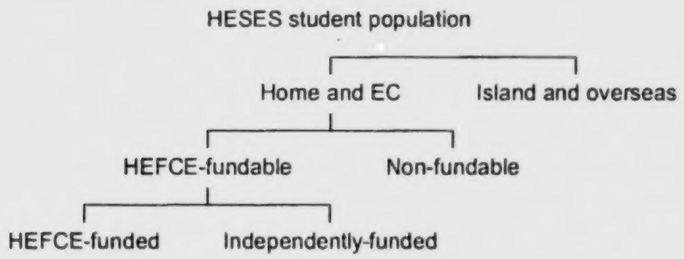
    c. The student is not writing-up for the whole of the year of programme of study.

5. When a year of programme of study becomes countable depends on how the FTE is returned to HESA. Activity for a year of programme of study can either fall within one academic year or span two academic years. Where the activity spans two academic years, the FTE can be reported to HESA either in the academic year in which study begins, or the academic year in which it ends, or be split across two academic years. Where the activity is within one academic year or reported in the academic year in which study begins, years of programme of study should be counted in HESES on the commencement date and its anniversary. Where the activity is split or reported in the academic year in which study ends, years of programme of study should be counted in HESES on 1 August of each academic year in which activity occurs, except the first. This is explained in more detail in Annex D.

What is their fundability status?

6. Annex F provides the strict definitions on residential and fundability status. In HESES, students are disaggregated between home and EC, and island and overseas. Home and EC students are then disaggregated between HEFCE-fundable and non-fundable. HEFCE-

fundable students are then further disaggregated between HEFCE-funded and independently-funded. This hierarchy is shown in the diagram below.



Home and EC; island and overseas

7. Island and overseas students are generally those from the Channel Islands or the Isle of Man or from outside the EC. They are not included in any of our funding allocations or student number targets for 2003-04. Students who are not island and overseas are home and EC.

HEFCE-fundable; non-fundable

8. The three main categories of home and EC non-fundable students are those who are:

a. Funded from another EC public source: for example, the Department of Health, the Modern Apprenticeship scheme or the TTA, or from European grants such as the European Social Fund (ESF). In some cases, where the public funding does not cover HEFCE standard resource rates, a proportion of the students on the course may be returned as fundable, as long as the students are not excluded for other reasons – see paragraphs 6a, 6c and 6d of Annex F.

b. On closed courses, which are not open to any suitably qualified candidate. This will cover, for example, courses which are provided solely for the employees of particular companies.

c. On courses which are franchised-out to an organisation which is neither an HEI nor an FEC, unless we have given specific approval to include them as fundable.

9. Non-fundable students are only included in our calculation of average fee rates per student FTE; these rates are used to inform assumed resource. Home and EC students who do not meet the definition of non-fundable are HEFCE-fundable.

HEFCE-funded; independently-funded

10. Institutions may choose to record home and EC HEFCE-fundable students as independently-funded, if they receive sufficient funding from non-public sources to cover the HEFCE standard resource level for the particular category of student. Independently-funded

students are not included in our calculations of standard and assumed resource, but do still count towards FTE targets for funding conditional upon delivery of growth. In general, the declaration of eligible students as independently-funded will only benefit institutions that are currently under-resourced from public funds (below the ±5 per cent tolerance band around standard resource), as an aid to migration to within the band. Home and EC-fundable students who the institution chooses not to record as independently-funded are HEFCE-funded.

Is the qualification aim a recognised HE qualification?

11. Recognised HE qualifications are those defined in paragraph 1 of Schedule 6 of the Education Reform Act 1988. NVQs and free-standing foundation years are not included. See Annex C.

What is considered a non-completion?

12. A student who fails to complete (that is, undergo the final assessment of, or pass) any module within the year of programme of study is to be returned as a non-completion for all activity in that year. See Annex D, paragraphs 14-21.

How are students classified into mode?

13. Students are classified into either full-time and sandwich, sandwich year-out or part-time according to the definitions in Annex H. Students following the same course with the same pattern of activity should generally be returned with the same mode.

a. Full-time and sandwich students will be on a course where they are usually required to attend for at least 24 weeks, 21 hours a week, for the year of programme of study; and a full-time fee is chargeable for the year (even if it is waived).

b. Sandwich year-out students are those on sandwich courses, as defined in Regulation 5 of the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200), who are on their year out.

c. Part-time students are all other students. Note that this includes HNC students who are expected to complete in one year, but whose course is not subject to regulated fees.

How are students classified into level?

14. Undergraduates are students studying for a first degree (including foundation degree), HE certificate or diploma. Provision below degree level includes HNDs, HNCs, DipHEs and CertEds. Postgraduate qualifications (including higher degrees and PGCEs) are those where the normal condition of entry is a qualification at degree level (that is, already qualified to level H of the QAA national qualifications framework). Postgraduates are split into postgraduate research students and postgraduate taught students – a definition can be found in Annex I, paragraph 4.

What counts as a long year of programme of study?

15. For full-time courses, the year of programme of study is returned as long if:

a. The students are normally required to attend for 45 weeks or more within that year of programme of study, or

b. The year of programme of study includes a within-course short period of study, awarded as a summer school through an additional student numbers bidding exercise and explicitly notified by HEFCE.

16. For part-time courses, the distinction depends on the length of each year for an equivalent full-time course. See Annex J.

Which price group should the student be returned under?

17. Price groups are defined in terms of academic cost centres. A mapping from cost centre to price group can be found in Annex G, paragraph 1. Some cost centres are in more than one price group – these are described in paragraphs 2-12 of Annex G. Where the activity for a year of programme of study falls into more than one cost centre, and these cost centres do not fall entirely within one price group, then the year should be split between price groups. Students on ITT (QTS) courses and INSET (QTS) courses should be attributed to the ITT (QTS) and INSET (QTS) price groups respectively, regardless of any provision in cost centres.

How should years of programme of study be returned on Table 4, the fee table?

18. Generally, full-time undergraduates (including those aiming for a qualification below degree level) and PGCEs are subject to the regulated £1,125 fee, and part-time ITT students, sandwich year-out students and language year abroad students are subject to the regulated £550 fee. Only full-year outgoing exchange students on SOCRATES/ERASMUS exchanges should be returned with a regulated fee of £0. Most postgraduates and part-time students are not subject to regulated fees and should be returned with a fee level of 'Non-regulated', regardless of what they actually pay. See Annex L, paragraphs 11-16.

How is the FTE calculated for part-time students?

19. FTE is calculated by comparing either the duration of the course or the credit points studied with an equivalent full-time course, or if such a course does not exist, a similar full-time course. The total FTE per student for a part-time course should equal the total FTE per student for an equivalent full-time course.

Which tables should be completed?

20. All full-time students should be returned on Table 1a, the full-time table, whatever HE level they are studying at. Similarly, all sandwich year-out and all part-time students should be returned on Tables 2 and 3 respectively.

21. Table 1b should be completed if the institution has full-time undergraduate medical and dental students. These are students on programmes of study that normally lead to a first registrable medical or dental qualification. The students returned here are a subset of the undergraduates returned on Table 1a. See Annex K.

22. All home and EC students returned in Columns 1 and 2 of Tables 1a, 2 and 3 should also be returned on the fee table, Table 4, even if every student is recorded as having a fee level of 'Non-regulated'. Island and overseas students should **not** be included in Table 4.

23. Table 5 should be completed if the institution has students studying for qualifications below degree level, and should contain a subset of the undergraduate students returned in Columns 1 and 2 of Tables 1a, 2 and 3.

24. Table 6 should be completed if the institution has students studying on foundation degrees and foundation degree bridging courses, and should contain a subset of the students returned in Columns 1, 2 and 5 of Tables 1a and 3.

25. All home and EC students returned in Columns 1, 2 and 5 of Tables 1a, 2 and 3 should also be returned on Table 7, split between home students (those domiciled in the UK) and others.

When the tables have been completed

26. Each worksheet contains a number of validation checks. If an error or inconsistency is detected in a worksheet once it has been completed, a message reading **Validation: Failure (see below table)** will appear above the column in the table in which there is a validation failure, and the value in the cell which is causing the error will turn red. Below the table, the error will be described in more detail. These errors must be corrected before submitting the tables to HEFCE. If the error cannot be identified, institutions should e-mail us at heses@hefce.ac.uk. The validation checks are described in more detail in Annex N.

Annex R

Audit of HESES02

1. For HESES02 we are auditing 21 institutions and following up previous audits at a further three institutions. At the time of preparing this publication, not all the audits had been undertaken. The completed audits highlighted areas in which some institutions were incorrectly interpreting the HESES guidance, or where internal institutional systems and practices did not facilitate the production of the HESES return. The findings included:

- lack of robustness in the estimation of non-completions
- lack of robustness in the estimation of forecast countable years
- incorrect assignment of departments to cost centres
- incorrect apportionment of student load to cost centres, where a course is in more than one cost centre
- incorrect calculation of part-time load factors
- incorrect fundability status
- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HESES return
- inappropriate authorisation of the HESES return
- lack of knowledge management
- poor use of student record data as management information
- variable practices in faculties, schools and departments producing inconsistent data
- students studying outside the UK being incorrectly included in the HESES return
- students recorded more than once in the HESES return.

Estimation of non-completions

2. The definition of a non-completion is included in Annex D. The audits identified a common misconception that withdrawals notified from an academic department are the sole source of data for that department's non-completion estimate. Estimation of the number of non-completions should normally be based on the non-completion rate for the previous year for the particular course. Where this is not the case, there should be a clear rationale for any alternative methods used or adjustments made. A student who fails to complete (that is, undergo the final assessment of, or pass) any module within the year of programme of study is to be returned as a non-completion for all activity in that year.

3. In using the previous year's non-completion rate for a course as the basis of the current year estimate, it is important to make sure that the non-completion rate for the previous year is accurately known. We have found several instances where this has not been the case. Non-completion status should be recorded in the year of programme of study. Continuation of study to the following year should not be taken as evidence of, or a proxy for, completion in the previous year.

4. Institutions may also find it useful to demonstrate the validity of their non-completion estimates by analysing the non-completion rates for different courses over, say, three to five

years. This would help to identify trends and years where the result is atypical compared with the trend.

5. A review of the outturn compared to the estimate should be made at the year-end and reasons for any discrepancies sought. This additional knowledge can then be used to inform the estimate for the following year.

6. Non-completions should be reported in a timely fashion, and the student record system updated to reflect the student's change in status. Systems should be in place throughout the year to enable identification of students who are missing from or are struggling with the course, and steps taken to try to retain them at the institution. The information obtained from evidence of interaction/involvement with the course should be used to follow-up missing students. Reconciliations should be made with the student record system to ensure it is up to date and accurately reflects what is being reported elsewhere. Instances were found where additional students were on mark sheets but no record of them was on the student record system. There were also instances where students had clearly withdrawn, but their records had not been amended on the student record system.

7. Students' records not being updated in a timely fashion has led to them being included in the return when they had already left the institution by the census date.

Estimation of forecast countable years (Column 2)

8. There was some confusion as to which students should be included in Column 2. There are sometimes no estimates for students who should be returned in this column, or alternatively students may be included here who should in fact be returned in Column 1. For a detailed explanation of the correct treatment see Annex D.

9. The estimates included have not been adequately backed-up by explanations as to how they have been established, particularly with reference to previous years' experience. An audit trail for these figures should be retained. Final outcomes should be compared to estimates, and reasons for any differences established. This additional information should be used, with trend analysis of previous years and any known changes to courses in the future (such as new or discontinued courses), to establish the estimates for future returns.

Assignment of departments to cost centres

10. Departments should be assigned to cost centres according to the guidance given in the forthcoming circular letter 'Assigning departments to academic cost centres: 2003-04'. The audits found that sometimes all academic activity for a department is assigned to only one cost centre, where a split between cost centres would be more appropriate. They also found cases where a department is split between cost centres and a standard division is applied, irrespective of the actual split in staff effort for that department. We may ask institutions to provide evidence of how they have allocated particular departments to cost centres.

11. Institutions reporting any activity in cost centre 39, computer software engineering, must ensure that all the criteria described in 'Assigning departments to academic cost centre: 1998-99' HEFCE 98/65, Annex B, are fully met and supported by documentary evidence. Institutions should not consider this a one-off exercise and should keep this area under regular review to ensure compliance for each annual HESES exercise.

12. As part of the comparison of HESA data to HESES01 we examined subject provision by cost centre. This highlighted a number of cases where inappropriate allocations had been made, often because of historical allocations of course codes or assignments of departments to cost centres. In addition some variation in how institutions mapped activity to cost centres was apparent.

13. Staff define cost centres. Therefore, when determining the cost centre for a given module, the cost centre of the member of staff most directly associated with it should be used. In particular, where a department is split across cost centres it will be necessary to identify which modules are taught by individual members of staff in order to assign the student load to the appropriate cost centre. In general this approach will not be consistent with pro-rating student load to the staff cost centre split. Wherever possible, where two or more members of staff from different cost centres are associated with a particular activity, the student load should be split according to the proportion contributed by each member of staff.

Apportionment of student load to cost centres

14. The allocation of student load to cost centres, and therefore to price groups, can present problems where provision for a course is in more than one department and cost centre, or where a department is split between cost centres. If part of a course or a module of a course is provided by a different cost centre to the rest of the course, this should be identified on the HESA record, and on HESES by mapping the relevant student load to the correct price group. Where the student load for a course is split between cost centres, the load should be apportioned in an appropriate ratio. The ratio should be calculated on an individual course basis and reviewed regularly. It is not appropriate for a ratio calculated for one course to be applied to other courses. More guidance is included in Annex G, paragraphs 14-20.

Part-time load factors

15. As shown in Annex E, the sum of the total student load allocated to a part-time student should be equivalent, over the duration of the course, to that allocated to a full-time student. For example, if the total FTE for the full-time course is 3 (the load for each of three full-time years is 1), then the sum of the part-time loads over the duration of the part-time course should also be 3. We have found examples where this is not the case, due to many factors, including a lack of understanding of what the student load is meant to represent.

16. Use of standard part-time load factors is common, as the part-time student activity for the year may not have been ascertained by the census date due to the nature of the study.

This is acceptable practice. However, these standard load factors often do not accurately reflect actual activity for the year. If standard load factors are to be used, there must be clear evidence that on average students do study at these levels of activity.

Fundability status

17. In some audits each year, we find cases where students have been included in the HESES return as fundable when they were clearly being fully funded from another EC public source, such as the NHS or HM Forces. This is inappropriate, and implies there has been a failure in the system for preparing the return. Staff preparing the return should ensure that such students are correctly treated in accordance with Annex F.

Collaborative arrangements

18. Many institutions are involved in collaborative arrangements with other institutions, for example franchise arrangements with FECs. It is essential that the exchanges of information and communications between all the partners are frequent, timely, open and effective. In particular, we highlight the importance of the lead institution being told promptly by the partner institutions about any non-completing students. This may require clear protocols with partner institutions regarding exchange of information.

19. The different parts played by each partner will vary in collecting and managing data. However, the principle applied at audit is that student data should be managed with equal professionalism at all partner institutions. When entering into partnership arrangements, the systems in operation and the exchange of information should form part of the negotiations and final agreement.

20. It is also important that students are only returned by the lead institution. Institutions' student record systems should clearly identify students eligible to be returned by them, and should ensure that those not eligible are excluded.

Inadequate audit trail

21. In some cases, the audit trail between the student record systems and the HESES return was inadequate. A record of the basis for making estimates of non-completions and forecast countable years should be kept, along with any relevant printouts and working papers used in completing the return. This is particularly important where only one person is responsible for the return, as the return has to be reproducible even if they leave. The audit trail should be retained for at least three years. Source documents such as registration forms should also be retained. Where an institution uses document image processing or other methods to store such information, the original documents should normally be retained for at least one year, and the copy retained for at least a further two years.

Authorisation of the HESES return

22. At some institutions, the person responsible for the production of the HESES return also signed it off on the institution's behalf. We expect the HESES return to be signed off as described in paragraph 18 of the main document, and not by the preparer of the return. The person signing off the return should have an understanding of our data collection requirements, to ensure that the institution has systems capable of producing an accurate and complete return and that the preparer of the return has compiled it competently.

23. The analytical review function of the person signing off the return is vital in reducing the number of 'obvious' errors returned, which could be spotted at the institution by a competent person.

Knowledge management

24. At many institutions, the knowledge required to prepare the HESES return is undocumented and sometimes lies with only one person. This creates a risk that, in the absence of that person, particularly at crucial times of the year, the institution may not be able to prepare the return on time or to the appropriate standard. A good audit trail helps to reduce this risk. But we also consider it good practice for all institutions to manage this risk effectively, by ensuring that at least two people can both produce the information for the return and prepare the return itself.

25. In addition, institutions should consider ensuring that the relevant processes are adequately documented and that this documentation is kept up to date. This requires all relevant staff, including experienced staff, to consider HESES each year, and to make any necessary changes to their systems.

Management information

26. The student record system is not only important from the point of view of the HESES and other statistical returns, but is also a source of management information for the institution. The opportunity to use this resource is being lost at many institutions we visited. Typically, student records are only cleaned up at the time of end of year examinations, because academic staff have to rely on the data at that time. The opportunity to use the data throughout the year as a management tool for identifying problem areas or potentially failing students is lost.

27. Although most institutions do not use the data effectively, a growing number have implemented 'data warehouse' solutions to provide key management information from the student records system.

28. Management information is only useful if it is complete, accurate and timely. Complete and accurate data would in turn produce a more accurate HESES return.

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Variable practices

29. Although institutions have academic regulations and procedures for managing student data in the student record system, the audit visits picked up many instances of inconsistent practice within institutions.

30. Differential practices do not necessarily mean that procedures are not being followed. In a number of instances it was clear that the procedures were inadequate to cope with the complexity of the area in question. For example, faculties of health studies often have requirements over and above those of the rest of the institution. However, it was clear in other areas that the staff managing the data were not sufficiently trained in the institution's requirements.

31. Data quality will be improved if the requirements of all users are fully understood and taken into account by staff managing and maintaining the student record system. All users should also be trained in the data requirements of the institution, so that they understand why they are asked to perform particular tasks.

Students studying outside the UK

32. Students spending most of their time overseas should in general be excluded from the HESES return. For the exceptions to this, see Annex B, paragraph 3(e). Where there is a clear academic reason for studying abroad rather than in the UK, the students may be included in the return, but even where such a reason exists, HEFCE must specifically sanction the course as eligible.

Students incorrectly recorded more than once on the HESES return

33. This is becoming a less frequent problem, but we still find instances of students being recorded more than once on the HESES return. There should be a review of the student record system before data are extracted for the return, to check for duplicate records. This should be general practice throughout the year, particularly when new student records are being set up on the system. There may, exceptionally, be genuine reasons why a student has two records, and it needs to be established where this is so. Where it is not correct, the student record system should be amended at the earliest opportunity.

Annex S

Glossary

APL	Accreditation of prior learning.
Attendance	A student is considered to be attending the institution whenever they undertake periods of study, tuition or work experience as part of the programme of study. For example, a distance learning student studying at home is attending.
Base level of resource	For 2003-04, this is £2,808. Also known as the base price.
EC	European Community
EEA	European Economic Area: all EC countries plus Iceland, Liechtenstein, Norway and Switzerland.
ERASMUS	European Community action scheme for the mobility of university students.
ESF	European Social Fund.
FE	Further education.
FEC	Further education college.
Foundation degree	A two-year full-time, or the part-time equivalent, HE course which has been validated by an HEI as a 'foundation degree', and which is expected to incorporate the core features set out in the foundation degree prospectus, HEFCE 00/27.
Foundation degree bridging course	A short stand-alone course taken after a foundation degree has been completed to enable students to go on to the final year of an honours degree course.
Franchised-out	Any student who enrols at one institution and pays them a fee for tuition or supervision of research, but undertakes all or part of their study at another institution, is considered to be franchised-out by the institution collecting the fee. This includes all collaborative arrangements except HEFCE-recognised funding consortia. See Annex B.
FTE	Full-time equivalent.
HE	Higher education.

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HEA	Higher education adviser (from HEFCE).
HEFCE-recognised funding consortium	See Annex B, paragraphs 14 and 15.
HEI	Higher education institution.
HEIFES	Higher Education in Further Education: Students survey.
HESA	Higher Education Statistics Agency.
HESES	Higher Education Students Early Statistics survey.
HESES student population	HESES counts years of programme of study for students aiming for a recognised HE qualification. The students that generate these years of programme of study are called the HESES student population. See Annex B.
HIN	Unique HE programme of study identifier on the HESA record, HIN = HUSID + INSTID + NUMHUS, a combination of student identifier (Field 4), HESA institution identifier (Field 2) and student instance number (Field c151 s136). See the HESA student record coding manual, Appendix 11, for further information.
HMSO	Her Majesty's Stationery Office, now called The Stationary Office.
ILR	The Learning and Skills Council's individualised learner record.
INSET	In-service education of teachers.
Intercalated year	For HESES purposes, this is a year inserted into a medical course to allow for the award of a BSc or BA in addition to the normal medical degree.
ISR	The Learning and Skills Council's individualised student record.
ITT	Initial teacher training.
LSC	Learning and Skills Council.
NHS bursaried courses	Pre-registration courses for which an NHS bursary may be payable.

NVQ	National Vocational Qualification.
PGCE	Postgraduate Certificate in Education.
PGT	Postgraduate taught students.
PGR	Postgraduate research students.
Postgraduates	Students registered for courses or credits where a normal condition of entry is that entrants are already qualified to degree level (in other words qualified at level H of the QAA national qualifications framework). See Annex I.
QAA	Quality Assurance Agency for Higher Education.
QTS	Qualified teacher status.
Regulated fees	Fees as defined in the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200). See Annex L.
SCITT	School-centred initial teacher training.
SLC	Student Loans Company.
SOCRATES	European Commission action programme in the sphere of school and higher education.
Standard resource	Standard resource is used for funding purposes. It is calculated by multiplying the weighted full-time equivalent student load by the base price. See Annex F.
Student load	Student activity expressed as full-time equivalents rather than counts of years of programme of study. See Annex E.
TTA	Teacher Training Agency.
Ufi	A government initiative to develop a 'university for industry'. Learning services are provided through 'learndirect'.
Undergraduates	Students studying towards a first degree (including foundation degree), HE certificate or diploma, or equivalent; or students registered for an institutional credit that can be counted towards one of these qualifications. See Annex I.

Year of programme of study	Students study towards qualification aims over a period, which can be split into one or more years of programme of study. See Annex D.

Annex T

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References are to the paragraph numbers in the main document, or to the annex letter and paragraph numbers of annexes.

Note that some words or phrases are defined in the glossary at Annex S.

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tion:

: Full-time and sandwich
1a: Counts of years of programme of study

			Validation = OK 1 Years countable between 1 August 2003 and 1 December 2003 inclusive				Validation = OK 2 Forecast of years countable between 2 December 2003 and 31 July 2004 inclusive				Validation = OK 3 Forecast of years not completed (negative values)				4 Assumed countable years AY 2003-04 Columns 1+2+3				Validation = OK 5 New entrants included in Columns 1 & 2				Validation = OK 6 Assumed countable years wholly or partially franchised-out or part of a HEFCE-recognised funding consortium included in Columns 1 & 2								
			Home & EC				Home & EC				Home & EC				Home & EC				Home & EC				Home & EC fundable								
			Fundable				Fundable				Fundable				Fundable				Fundable				(a) Wholly franchised-out to			(b) Partially franchised-out to			(c) As part of a HEFCE consortium		
oup	Length	Level	HEFCE-funded (a)	Ind.-funded (b)	Non-fundable (c)	Island o'seas (d)	HEFCE-funded (a)	Ind.-funded (b)	Non-fundable (c)	Island o'seas (d)	HEFCE-funded (a)	Ind.-funded (b)	Non-fundable (c)	Island o'seas (d)	HEFCE-funded (a)	Ind.-funded (b)	Non-fundable (c)	Island o'seas (d)	HEFCE-funded (a)	Ind.-funded (b)	Non-fundable (c)	Island o'seas (d)	FECs (i)	HEIs (ii)	Other inst. (iii)	FECs (i)	HEIs (ii)	Other inst. (iii)	FECs (i)	HEIs (ii)	Other inst. (iii)
oup A		UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
oup B		UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
y-based		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
ngineering		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
ology)	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
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h cost		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
ith a		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
oratory or	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
lement)		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
oup D		UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
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		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
ogy		UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
tudies		UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
S)		UG			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00									
		PGT			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00									
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QTS)		UG			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00									
		PGT			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00									
		PGR			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00									
	Long	UG			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00									
		PGT			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00									
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		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Total	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

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August 2003/43
Special initiative
Report on funded projects

This report is for information only

This is our final report on the Restructuring and Collaboration Fund (R&CF). It shows the standard terms and conditions applied to projects funded through the R&CF, and summarises the progress of projects that received funding in 2001 and 2002. It includes contact details on individual projects. The fund was formally closed on 31 December 2002, to be replaced by the Strategic Development Fund.

Restructuring and Collaboration Fund

Progress report on approved projects in 2001 and 2002

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HIGHER EDUCATION FUNDING COUNCIL FOR ENGLAND

Restructuring and Collaboration Fund

Progress report on approved projects in 2001 and 2002

To	Heads of HEFCE-funded higher education institutions
Of interest to those responsible for	Finance, Planning, Strategic development, Estates
Reference	2003/**43**
Publication date	August 2003
Enquiries to	On individual projects contact the HEFCE regional consultant or higher education adviser for the institution

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Executive summary

Purpose

1. This is our fourth and final report on our Restructuring and Collaboration Fund (R&CF). It summarises the progress of projects funded through the R&CF that had received funding between January 2001 and December 2002. It includes contact details to obtain further information on individual projects.

2. On 19 December 2002 the HEFCE Board agreed to formally close the current R&CF with effect from 31 December 2002. It has been replaced by a new Strategic Development Fund (SDF), from April 2003, which will link to and support the HEFCE's strategic priorities more directly. HEFCE 2003/28 provides further information.

3. Where an institution has been working with HEFCE regional consultants before 31 December 2002 to put a bid together it will still have the opportunity to bid under the previous R&CF criteria. Where these bids do not fit R&CF criteria, as long as they meet the criteria for the SDF, institutions will have the opportunity to bid for funding from the SDF. However, there is no guarantee that such a project will be approved.

Key points

4. Section 1 provides a summary table listing all projects receiving funding between January 2001 and December 2002.

5. Section 2 gives an overview of the types of project which institutions put forward for support.

6. Section 3 sets out the criteria against which the approved projects within this publication were assessed. It also provides information on the standard terms and conditions that we applied to these projects.

7. Section 4 contains individual progress reports on continuing projects, with contact details for further information.

8. There is a key to abbreviations at the back.

Action required

9. None: this report is for information. Any institution seeking further information should contact its HEFCE regional consultant or higher education adviser. For contact details see our web-site at www.hefce.ac.uk.

Section 1: Summary of approved projects between January 2001 and December 2002

See separate Excel download.

Section 2: Overview of projects funded

10. The HEFCE Restructuring and Collaboration Fund (R&CF) was introduced in academic year 1997-98. It was a discretionary fund to support development projects which higher education institutions (HEIs) could not fully fund for themselves. Its focus was organisational and institutional restructuring to improve teaching and research and to meet new demands, and to support collaborative projects between HEIs and with other partners.

11. We published in May 1999 our first annual report summarising the objectives and progress of projects supported through the fund (HEFCE report 99/34). The second report was published in July 2000 (HEFCE 00/30), covering projects approved up to the end of 1999. The third report published in September 2001 (HEFCE 01/55), covering projects approved up to the end of 2000. This is the fourth and final report summarising the objectives of projects receiving funding during 2001 and 2002.

12. This section gives an overview of developments, and identifies the categories of projects that were supported through the fund.

13. The five specific criteria which underpin the fund are outlined in section three. Within these criteria the main areas of activity we have supported are as follows:

- mergers and strategic alliances
- restructuring to meet changes in demand
- development of the physical infrastructure
- regional developments
- HEI-led collaborative projects
- national collaborative projects.

Mergers and strategic alliances

14. There has been a continuing flow of merger projects supported through the R&CF. This is one end of the spectrum of inter-institutional partnerships and collaborations. The number of full mergers is very small. But it is an important mechanism for securing the continuance, in a new form, of valuable provision, particularly in cases where an institution concludes that it cannot sustain its academic or financial viability as a separate HEI. The HEFCE's position remains that we will not seek to compel any institution to merge against its will. For a merger to be successful, the institutions have to conclude for themselves that it is the right path to follow. But where institutions reach that conclusion, the R&CF played an important part in smoothing the way by meeting transitional costs, which can be substantial. These have included refurbishment of buildings, costs of merging programmes and new programme development, IT connections between the campuses and rationalising support services.

Restructuring to meet changes in demand

15. One category of funded activity has been action by HEIs to restructure their provision in the light of changes in student and employer demand. We look to all the institutions we fund to keep recruitment trends and employer needs under careful review, and to adjust their course offer accordingly.

Development of the physical infrastructure

16. We have sought to support the capital needs of HEIs for investment in their estate and physical infrastructure through a number of programmes. The poor estates programme has selectively allocated capital funds to those HEIs that inherited the worst estates. The previous Joint Infrastructure Fund, and the current Science Research Investment Fund and Project Capital Fund, are allocating substantial capital funds to support upgrading of the infrastructure for research.

17. From time to time, however, HEIs identified strategic opportunities to restructure their estate which do not fit easily within these other programmes – for example, because the project did not meet poor estates criteria, or its scale is beyond what could be afforded with the institution's formula share of teaching capital. These projects were designed to achieve some strategic step-change in the HEI's use of its estate, particularly to improve facilities for students, and this is where the R&CF provided support.

Regional developments

18. The importance of the regional agenda for higher education (HE) was reflected in a range of R&CF projects. Specifically the fund supported the operation of a regional association of HEIs in each of the nine regions of England. The associations have demonstrated their value as mechanisms for HEIs to collaborate in appropriate activities, and for HE collectively to work with other regional players, such as Regional Development Agencies and Government Offices.

HEI-led collaborative projects

19. The fund supported a range of collaborations initiated by HEIs, either with other HEIs or with a range of partners outside the HE sector. We welcome this. Higher education remains highly competitive, for example in student recruitment and in the pursuit of research excellence. But we believe there is a lot of scope to increase collaboration for the benefit of students, staff and other partners.

National collaborative projects

20. We have used the fund as a mechanism for pump-priming national projects which we believe will be of general benefit to the HE sector, and which involve collaboration with HEIs and sometimes other partners.

Section 3: Criteria and standard terms and conditions of the Restructuring and Collaboration Fund

Objectives and criteria

21. The overarching purpose of the Restructuring and Collaboration Fund (R&CF) was to facilitate constructive development, at a strategic level, in relation to the structure and organisation of HEIs and the sector. The fund did not, of course, support all change in HE. It is primarily for HEIs to identify where development is needed, and to pursue change from their own resources. Both institutions and the sector must remain dynamic, constantly searching for ways of developing and improving for the benefit of students, research activity and the wider community interest.

22. The R&CF provided support to institutions where strategic development would be beneficial but where the institutions concerned did not have the resources to undertake it alone without damage to their other priorities. Our approach has been to encourage sharing investment in projects with institutions and other funders where possible. By following this approach the total R&CF investment in the sector between 1997 and when the R&CF closed in December 2002 is approximately £200 million.

23. The five criteria which underpinned the R&CF were:

a. Major changes to the academic portfolio.

b. Major constitutional change, particularly merger.

c. Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector.

d. Structural realignments within institutions.

e. Collaborative arrangements between higher education institutions.

24. Institution-led projects under the collaboration criterion involved at least one HEI, and normally the collaboration was between two or more HEIs, although partners outside the HE sector have been involved. We allocated R&CF funding only to universities and colleges within the higher education sector or to associated bodies which serve the HE sector. But so long as there is a lead HEI in every institution-led project, a project has involved FE colleges or institutions outside the HE and FE sectors if that has served to meet the objectives of the scheme.

Standard terms and conditions of funding

25. All R&CF projects are subject to the following standard terms and conditions:

a. The institution should provide an expenditure profile by month for each of the financial years of expenditure.

b. We will pay in accordance with the profile of expenditure up to a total of 90 per cent of the grant which has been approved. The remaining 10 per cent of the grant will be released on receipt of a satisfactory final project report.

c. Before beginning to make payments, we will need evidence that work has begun (such as a copy of a contract or other documentation).

d. The institution should provide a progress report every six months, with the first such report to be submitted six months after the start of the work. These reports should reflect the work completed with the support of the previous six months' payments, and should also identify any programme slippage. Where there is slippage, the progress report should show a recovery plan and revisions to the monthly expenditure profile. We reserve the right to suspend payments should progress reports not be forthcoming.

e. The institution should inform us of any significant alteration to the project. We reserve the right to terminate funding if, in our judgement, these alterations mean that the project is now unlikely to achieve the intended outcomes.

f. The institution should provide a final report, setting out how far the project has met its objectives, milestones and deadlines. This is particularly important for any projects which are intended to be innovative, and to have wider application to other institutions. In such cases, the final report will need to set out in detail what lessons have been learnt. This report should also show the total cost of the programme and include assurances on the use of the grant. We will specify the deadline for receipt of the final report.

g. We reserve the right to make available to others the final report (and any other associated products from the project), as part of disseminating the project findings for the benefit of the rest of the sector. We may do so either free of charge, or with a charge to cover the cost of the publication.

h. In all cases, we will need an assurance that the grant has been used for the purposes intended, and in accordance with the normal requirements of our financial memorandum with HEIs. The form of that assurance will depend on the scale of the project, as follows:

> i. Where the total grant is £100,000 or more, we need evidence that the institution's internal or external auditors (or a separate firm of auditors if preferred) have tracked the grant for the individual project sufficient to give us an assurance in accordance with the normal requirements of our financial memorandum with institutions. The cost of this audit is an allowable cost under the programme. The institution may ask internal or external auditors to include that task within any wider routine audit work they are doing (subject to meeting the deadline for the audit report). But it is not sufficient for us to have a generalised assurance that overall the institution's financial arrangements are satisfactory. We need the assurance to be tied to the grant for the specific project.
>
> ii. For any grant totalling less than £100,000, an institution could ask its internal or external auditors to undertake the same exercise as for larger grants. However, it will be sufficient for the institution to give a statement (which must be signed by both the head of institution and the director of finance), certifying that the grant has been used for the purposes intended and in accordance with the normal requirements of the financial memorandum.

i. Where funds have not been claimed within 12 months of the award we reserve the right to withdraw the offer of grant.

j. We reserve the right to reclaim any overpayment from the institution's recurrent grant, if an audit statement shows that expenditure has not been incurred in line with the grant allocated.

Section 4: Individual project summaries

This section provides summaries of projects which have received funding between January 2001 and December 2002

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There are 20 reports outstanding which will be published in due course.

East of England

Project code: RCEA03

Higher education regional consortium project

Start date	Association established as a company limited by guarantee in 2000
Expected completion	Ongoing project
Duration	Continuous
Cost	HEFCE grant £150,000
R&CF criterion	Collaborative arrangements between higher education institutions
Contact	Professor David Bridges, Executive Director Association of Universities of the East of England (EEDA) Compass House Chivers Way Histon CAMBRIDGE CB4 9ZR
tel	01223 713908
fax	01223 713940
e-mail	auee@eeda.org.uk

Aims and objectives

Eight universities in the East of England region, the Open University in East Anglia, and the three HEFCE-funded higher education institutions in the region established the Association of Universities of the East of England (AUEE). Its purpose is to promote collaboration, partnership, focus and appropriate shared practice, so as to benefit the economic, social and cultural well-being of the region.

The agreed aims and objectives of the association concern:

a. Knowledge transfer: The AUEE will support its member institutions in developing:

- the means by which the knowledge and skills of their staff are made more accessible to business and public and private sector services in the region
- the means by which developments in higher education based science and technology can be the source for new developments in established companies and the basis for the creation of new enterprises.

b. Widening participation: AUEE will support its member institutions in widening access to HE provision in the Eastern region, including:

- securing additional student places in the region's HE institutions
- extending outreach activity by the universities and colleges
- building up HE provision and means of access to it in parts of the region which are under-provided

- improving opportunities for credit accumulation and transfer, and ease of progression between member institutions and between the FE and HE sectors.

c. Influencing the new regional politics: AUEE will seek to ensure that the individual and collective voices of its member institutions are heard in appropriate settings in the emerging regional politics. It will encourage individual institutions to seek representation or will provide collective representation as appropriate.

d. Maximising the benefit from regional funds: AUEE will help to keep member institutions informed of opportunities for accessing 'regional' funds from, in particular, the RDA, UK government departments and EC Regional Funds, and, where appropriate, facilitate combinations of regional universities in bidding for these funds.

Programme of work

Operationally we have established a small core office, which has so far operated on the basis of a half time Director and a full time administrator. (The Director's post will increase to 0.8 under the next phase of our work.) We have adopted an approach under which this core office acts as a facilitator to cross-institutional collaborations in projects and initiatives which once established, are then led and managed from one of our member institutions. This ensures that ownership of the initiatives and responsibility for them is focussed firmly in the institutions in which change is expected to take place.

We have established regular meetings (four each year) at vice-chancellor and principal level in the AUEE Board. These focus on strategic, financial and formal legal responsibilities of the Board. Once a year the Board meets with the Steering Committee and key regional stakeholders for a strategy review.

There are regular meetings of those holding regionally related responsibility at pro vice-chancellor/registrar level in the AUEE Steering Committee. This membership is the Association Directors main line of communication into member institutions, except where we have established specialist networks.

AUEE has established networks in which colleagues with roles as business development officers, directors of communications, deans of social work and those with responsibility for NHS liaison can meet together and with key figures in for example, the region and occasional conferences and events arising out of these groupings to focus on recent policy initiatives etc.

Finally we have arranged special meetings of, for example, HE representatives on LSCs and distance education organisations in the region.

All of this has also built relationships and established trust in a way which has enabled us to bid successfully to other initiatives including:

- the piloting of foundation degrees
- the £4.5 million Regional Innovation Infrastructure Project
- a raft of some 13 projects currently under development for funding by EEDA at a level around £600,000 to £700,000.

We are taking the lead in the region in the development of the regional strategy for Partnerships for Progression.

We have established HE representation on a wide range of regional bodies ranging from the Regional Assembly and NHS Workforce Confederation Boards to Innovation East and the East of England Business Agency Forum.

Finally we have produced a joint marketing publication for HE Business Development under the title 'Doing Business with Business' and have almost completed the development of the AUEE web-site.

Project outcomes

- completion of foundation degree pilot and evaluation
- establishment of Regional Infrastructure for Innovation Project
- establishment of regional partnership (Strategy Group and Business Planning Group) for Partnerships for Progression
- establishment of regional fora for key areas of our activity and of a structure of HE representation on regional bodies.

Project code: RCEA07/L

Development of the De Havilland campus

Start date	January 2001
Expected completion	September 2003
Duration	Two years nine months
Cost	Total project cost: £105 million HEFCE grant: £1.8 million, Repayable grant £1 million
R&CF criteria	• Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major changes to academic portfolio • Structural realignments within institutions
Contact	Professor R J T Wilson, Pro Vice-Chancellor and Deputy Chief Executive University of Hertfordshire College Lane HATFIELD AL10 9AB
tel	01707 284033
fax	01707 284046
e-mail	R.J.T.Wilson@herts.ac.uk

Aims and objectives

Restructuring of campus configuration to:

a. Gain increased institutional effectiveness through the disposal of two physically obsolete campuses and building a new campus on the former BAe site in Hatfield, one kilometre from the main university campus.

b. Enhance the university's academic portfolio and research initiatives by facilitating inter-disciplinary developments through co-location of the staff of the faculty of humanities and education and of the business school, and through the proximity of the new campus to the faculties located on the present College Lane campus.

c. Modernise learning and teaching facilities by the creation of a new learning resources centre.

d. Improve student access by providing programmes geographically close to centres of population and with good communication links.

e. Consolidate the university's position within the region by creating a campus that accommodates community sports/leisure and arts activities and by providing conference facilities that will address the needs of the business community.

Programme of work

The main elements of work are:

a. Securing a change in planning status of the Hertford campus and subsequently disposing of this asset.

b. The disposal of student residences in Hertford.

c. The disposal of the Watford campus in Aldenham, in parallel to securing a change in the planning status of the campus.

d. Generation of further capital receipts through innovative management of the university's estate.

e. Acquisition from BAe of the 30 acres of brown field land and 18 acres of green field land for the new campus.

f. Obtaining planning permission for the new campus from Welwyn Hatfield Council and Hertfordshire County Council, with the support of regional agencies.

g. Design of academic facilities to accommodate two faculties and an integrated campus learning resource centre.

h. Design and implementation of inter-campus communications to facilitate maximum benefits from the proximity of the two Hatfield campuses.

i. Negotiating a partnership agreement to facilitate the construction of the academic facilities within the capital resources available.

j. Specification of on-campus residential facilities to accommodate 1,600 students.

k. Specification of a sports/leisure centre for student and community use.

l. Specification of facilities for community social/leisure use and the negotiation of financial terms to support these facilities.

m. Specification of conference and performance facilities to address the needs of the business and arts communities.

n. Negotiating a Private Finance Initiative contract to construct and maintain the residential and sports/leisure facilities.

o. Design, development and use of a financial model of the project to evaluate affordability and to monitor the effects of variations in parameters during the project.

p. Project management of the campus construction, delivering the project on schedule, within budget and to specification.

q. Completion of all new facilities in the summer of 2003, vacating the existing campuses at that time.

Project outcomes

The main outcomes are:

- a purpose-built campus accommodating the activities of two large faculties, in close proximity to the university's main campus in Hatfield
- the creation of a portfolio of interdisciplinary programmes, increasing student choice
- improved learning and teaching through the provision of modern technology-based facilities
- improved student access in the context of campus location and of physical access for disabled students
- improved efficiency in the delivery of academic programmes through the use of advanced technology and organisational change
- a campus that acts as a centre for community sports/leisure and arts activities together with conference facilities that will address the needs of the business community.

Progress to date

The de Havilland campus, on the former BAe airfield site, was purchased in February 2001. Construction of the new de Havilland campus commenced in the autumn of 2001 and has a completion date of June 2003.

The academic buildings are being provided through a Public Private Partnership (PPP) and the residential and sports facilities will be through a Private Finance Initiative (PFI). Following the invitation of tenders for the financing, design, construction and operation of certain services in connection with the development of the student residences, sports and leisure facilities and associated works, the university, after negotiation, entered into an agreement in January 2002 with Ellenbrook Developments Plc (which is jointly owned by Carillion and the Royal Bank of Scotland) to raise funds for and procure this project. Ellenbrook Development Plc successfully raised a £60 million project bond to finance the project on 31 January 2002.

In order to fund the capital development of the academic facilities at the de Havilland Campus the university, in September 2002, entered into an initial £43 million loan facility with Barclays Bank Plc. The loan is in two elements consisting of a 25-year term loan, secured on the residential properties of Roberts Way and Telford Court, and a bridging facility available until March 2004, secured on those university properties identified for disposal.

The university has disposed of the Hertford Campus but retains the campus on a leaseback basis to September 2003 when the de Havilland Campus will be completed. During the year agreement was reached to dispose of Sele Mill and Dane Court in Hertford, with vacant possession, sometime between June 2003 and June 2004. In the meantime the university remains in beneficial occupation. A number of other student residences have been disposed of in line with the disposal programme.

Project code: RCEA08

Merger with East 15 Acting School, Loughton

Start date	September 2000
Expected completion	July 2003
Duration	Two years, 10 months
Cost	Total project cost: £1.913 million HEFCE grant: £869,000
R&CF criterion	Major constitutional change, particularly merger
Contact	Sonia Virdee, Planning Officer Planning Office, University of Essex COLCHESTER CO4 3SQ
tel	01206 874681
fax	01206 874852
e-mail	svirdee@essex.ac.uk

Aims and objectives

The aim of the project is to support the merger of East 15 Acting School in Loughton, Essex, with the University of Essex. The purpose of the merger was to enable the school to continue to deliver high quality provision focussing on the preparation of people for careers in acting or other professions related to the theatre. The project intended to bring the specialist provision delivered at the school fully into the HEFCE-funded sector while enabling the university to extend and refocus its drama provision. The project also sought to enhance access to learning resources and upgrade facilities at Loughton.

Programme of work

The project consists of three elements:

a. First the project included transitional funding over two years to support the migration of 130 students from the previous, higher fee level to HEFCE price group C level.

b. Second, the project includes the provision of new and upgraded facilities at both sites to allow the expansion of provision and student numbers, including:

   At Loughton

   - investment in IT resources
   - a new teaching block and a new student centre
   - an extension to the Corbett Theatre Foyer and the provision of facilities for the disabled
   - a new technical facility to support Acting programmes, and an upgrade to sound and lighting systems

- improvements to existing facilities

At the University of Essex main campus (Colchester)

- two new teaching studios and an upgrade to sound and lighting in existing areas
- the provision of enhanced IT and learning resources.

c. Third, support for immediate work to integrate the two institutions' administrative and management systems, including IT systems, specifically:

  - integration of financial, human resources and management information policies and systems
  - managing staff transfer and integration
  - creating revised structures for academic management and corporate governance.

Project outcomes

Merger of East 15 with the university was legally effected from September 2000, as part of the university's plan to achieve full integration of the school's programmes, students and staff. Merger has secured the continuity of the school's provision and has offered new opportunities for the school to diversify its curriculum, increasing student choice, and to enhance the academic environment of the school, enabling the development of more substantial postgraduate provision.

Recruitment has been buoyant and numbers are expected to exceed those expected at the time of the merger. East 15 has helped the university to build on its strong reputation for recruiting non-traditional applicants as the school has always drawn a substantial number of its students from disadvantaged backgrounds. Students have continued to win prestigious awards and recent graduates have taken major roles in television, film and theatre, demonstrating the successful continuation of the East 15 tradition.

Further outcomes are:

- the transfer of all existing students to university of Essex awards, funded through the university as standard price group C and supported by a successful ASN bid for 130 FTE in respect of the existing core provision in acting
- the continued development and expansion of acting provision, including collaboration with other university departments
- significant enhancement to the IT resources at East 15, including networking of the main building, a new IT suite or students and connection to the university network, email and JANET
- a new teaching block, provision of additional rehearsal studios and plans for a further teaching building including a black box theatre
- upgrading of lighting and sound facilities at the Corbett Theatre (Loughton) and internal and external remedial works on existing facilities
- at Colchester, plans for new additional facilities in conjunction with the refurbishment of the Lakeside Theatre to support acting programmes at the university's main site

- transfer of staff on to University of Essex contracts and the induction and integration into university systems
- establishment of East 15 as a department of the university.

Further work and investment is required to ensure the continued delivery of high quality provision at East 15, to maximise the opportunity for collaboration with other university departments and to provide further specialist teaching facilities to support growth in provision.

Project code: RCEA10

New facilities to support the Partnership for Higher Education in South Essex

Start date	August 2002
Expected completion	October 2004
Duration	Two years, three months
Cost	Total project cost: about £52 million HEFCE grant: £2 million
R&CF criterion	Major changes to academic portfolio
Contact	Sonia Virdee Planning Office, University of Essex COLCHESTER CO4 3SQ
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Aims and objectives

The aim of the project is to contribute to the development of new facilities for the Partnership for Higher Education in South Essex, led by the University of Essex and South East Essex College. The first phase of these new facilities comprises a new £52 million building, which will accommodate the existing college and approximately 1,500 (FTE) HE places. It will provide an innovative, IT based learning environment for students undertaking a range of courses leading to University of Essex awards.

Programme of work

The project is at an early stage of development with building work having commenced on site in September 2002. Phase 1 of the new facilities will provide for around 1,500 FTE HE students in central Southend, comprising approximately 7,700m^2 (equivalent to 5.14m^2 per HE FTE). The balance of the funding is being provided through contributions from the LSC and the partner institutions. Phase 1 is expected to be complete by autumn 2004.

Project outcomes

Key outcomes anticipated are:

- opening up a range of new HE opportunities – principally for the people of South Essex – including foundation degrees and access to a range of progression routes

- raising high level skills and levels of HE attainment in an area where both are needed – thereby boosting employability of local people
- bringing innovation in curriculum design and delivery and through the supported learning environment
- providing easy accessibility – by operating from a purpose-built site at the hub of a public transport network
- harnessing leading-edge information and communications technology to benefit the learning community, and business stakeholders
- forming an industry clinic which will boost local businesses and employers of all sizes and help in the effort to stimulate competitiveness.

Project code: RCEA11

Implementation of recommendation in Grant Thornton strategic options review

Start date	August 2001
Expected completion	September 2004
Duration	Three years, four months
Cost	Total project cost: £3.06 million HEFCE grant: £1.5 million
R&CF criteria	• Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

The project seeks to enable the college to achieve:

- a substantial re-alignment of the college's academic portfolio
- a major structural re-alignment within the college curriculum, based on inter-disciplinary knowledge clusters to ensure that the needs of industry are addressed
- the theoretical teaching gains from modular rationalisation and semesterisation by building larger teaching rooms and moving teaching from inappropriate pre-war teaching space
- provision of new laboratories in which to base the applied sciences curriculum

- the acceleration of the process of re-directing resources from declining to emerging areas of academic excellence
- the acceleration of the transfer and re-skilling of academic staff to deliver a revised curriculum.

Programme of work

The college's ability to accelerate the process of restructuring its academic portfolio in line with industry and market requirements has been hampered by an inability to re-direct resources into areas of academic ascendancy and to identify these areas in a sustainable manner. This has resulted in a large module load and heavy teaching commitments. This historic deficit has accentuated the thinness of academic resource within each subject area and the gradual decline in the college's ability to fund a diversified academic portfolio at a suitable level of both human and physical resource. In the academic year 2000-01 the college undertook a major modular rationalisation and semesterisation programme. The first year of implementation was the academic year 2001-02.

Therefore, the funds requested will assist the college to speed up the process of embedding the savings resulting from this initial rationalisation and by prioritising areas of academic excellence within the institution to:

a. Capture and embed the efficiency gains arising from rationalising of the modular structure from a 10 credit base to a 15 credit base, principally through the provision of larger teaching areas.

b. Capture staff workload efficiencies as a consequence of semesterisation to exploit in other areas of college activity.

c. Embed savings identified in staff contact hours, reduction in assessment load, rationalisation of modular base and alterations to the length of the teaching year.

d. Move forward with purpose and direction.

This re-organisation will assist the college to re-define its role within the higher education sector as a centre delivering practitioner and vocational excellence. Throughout the process of re-profiling and the grouping of expertise, the college will aim to maximise the efficiencies produced by rationalising the credit base and reducing the teaching year from 30 weeks to 26 weeks of direct teaching contact.

In addition, by introducing areas of excellence and eventually centres of excellence, the college will re-assign and develop staff into new roles.

This process will involve:

- re-deploying staff within areas of excellence in a manner that supports common strategic goals and interests
- building larger teaching rooms to accommodate the increased module loading and associated teaching efficiencies anticipated as a result of modular rationalisation, credit shift and semesterisation

- maximising the savings in staff teaching workload by excluding the need the repeat teaching of modules due to inappropriate classroom sizes and laboratories, thus freeing them to engage in other activities
- the re-training of staff following re-deployment to maximise the synergy and collaborative benefits arising from the staff review processes
- make at least three new appointments at the appropriate level to head up the centres of excellence initiative and provide leadership at the operational level.

The project will be delivered through four parallel projects:

a. Accelerate the evaluation, modification and re-alignment of the modular base following the rationalisation process carried out in academic year 2000 with respect to areas of excellence and knowledge clusters (2001 – 2004).

b. Process to embed areas of excellence and knowledge clusters within college (2001-2004).

c. Necessary teaching and green estate re-alignments as a consequence of changes to the modular framework and credit base (2001 – 2002).

d. MIS and e-learning re-alignment (2002 – 2004).

Project outcomes

The project was initiated in August 2001 following the confirmation of funding from HEFCE on 5 July 2001. By the end of the programme the college will have:

- improved teaching resource in terms of the demands of the new curriculum, particularly in terms of lecture rooms and laboratories; new space will be commissioned by February 2003
- increased module loading and increased the staff:student ratio through more efficient curriculum delivery, and be expanding the use of alternative modes of delivery
- increased the proportion of the weekly workload of staff available for other activities, through the combined time savings from module rationalisation, semesterisation and reduction in contact hours
- thoroughly trained staff in the use of the college MIS to ensure effective manipulation of data and thus minimise the potential for duplication in data management
- a regional profile will be distinctive and have clearly identifiable centres of academic excellence and thus better able to attract and build income
- an academic profile will be visible through a group of senior and peer respected individuals and thus be better equipped to take national leadership roles
- staff expertise will be grouped into defined areas of operation based around centres of excellence; first centre launched as the Centre for Environment and Rural Affairs February 2002
- a profile modified to provide effective and flexible support to its stakeholders.

Project code: RCEA12

Restructuring of curriculum framework

Start date	August 2001
Expected completion	December 2003
Duration	Two years five months
Cost	Total project cost: £1.750 million HEFCE grant: £1.050 million
R&CF criteria	• Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major changes to academic portfolio
Contact	Professor A Powell, Deputy Vice-Chancellor Anglia Polytechnic University Bishop Hall Lane Chelmsford ESSEX CM1 1SG
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Aims and objectives

The aim of the project is to develop an integrated teaching and learning experience for students across the Regional University Partnership (comprising the university and its 19 partner FE institutions) so that their experience of learning is similar to that of students on the three university campuses at Benfleet, Cambridge and Chelmsford.

This is supported by the following specific objectives:

- review and restructure the organisational and curriculum structures within the Regional University Partnership, including programme and module development, to facilitate responses to regional requirements
- make significant changes to the management practices and operational processing of awards
- enhance access opportunities for students
- enhance the learning and teaching methodologies adopted through the regional partner colleges
- develop effective and efficient management and administration of the curriculum and of the student experience
- provide a comprehensive programme of staff development to ensure that the changes implicit in this project are embedded into the culture and operation of the Regional University Partnership.

Programme of work

The following plan of activities to be undertaken by the project team will ensure achievement of the objectives:

- review the curriculum throughout the Regional University Partnership by identifying programmes and modules that are inefficient to produce a more cost-effective structure of programmes and modules
- review and restructure the mechanisms for delivery
- research the learning and training needs of students within the Regional University Partnership
- identify opportunities for collaborative delivery
- develop a catalogue of awards, programmes and modules in the form of a computerised database which can be interrogated across the region
- develop a pan-regional student database (to include harmonisation of data systems with colleges with significant HE provision)
- pilot e-Vision, the web interface that enables students and staff across the region to access the centrally-held data
- implement and support systems to facilitate student self-managed learning, to manage students' contractual relationships and to enable multiplex delivery
- pilot the new framework for delivery using curriculum areas that are well distributed throughout the Regional University Partnership
- implement proactive staff development across the Regional University Partnership by organising training events and encouraging discussion and exchange of views between staff through the provision of electronic links and meetings of subject specialists.

Project outcomes

On completion of the project, the following is envisaged:

- provision of quality video conference facilities across the Regional University Partnership
- enhanced student experience by exploiting the modular curriculum structure through the use of multiplex delivery and by the ability of the student to manage their learning online
- accurate and easily accessible student and curriculum data
- staff trained and supported in module delivery via video conference.

Achievements as at 31 October 2002

- quality video conference equipment has been delivered and installed to over half the Regional Partner Colleges
- multi-point use is already being made for staff meetings by video-conference
- appointment of dedicated staff to support a number of the development strands
- over 90 per cent of modules for Regional Partner Colleges participating in the pilot are on the central system

- restricted usage of E-vision is currently being piloted with two Regional Partner Colleges
- induction session via video conference has been run as a pilot at one Regional Partner College and is scheduled to take place at three further institutions within the next four weeks (the pilot experience is/will be by staff and students and used to inform changes in 2003)
- a presentation on CD-ROM for use at student induction is being developed for introduction in September 2003
- agreement has been reached with the two major Partner Colleges which, historically, have been using their own software systems for the harmonisation of processes so that data can be transferred electronically between them and the university
- the curriculum of one School of the university is being refocused, and the staffing restructured to meet the future curriculum challenges both for the university and the Partnership.

Review of the curriculum across the Regional University Partnership is considerably advanced.

Project code: RCEA13

Merger of educational and research work at Homerton College with the university's School of Education

Start date	1 August 2001
Expected completion	30 September 2004
Duration	36 months
Cost	Total project cost: in excess of £5 million HEFCE grant: £1,275,000
R&CF criterion	Major constitutional change, particularly merger
Contact	G Morley, Secretary of the Faculty of Education University of Cambridge 17 Trumpington Street CAMBRIDGE CB2 1QA
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Aims and objectives

- to develop Cambridge's contribution to teacher education, to the study of education, and to research in the field, by integrating the work of the university Department and the teaching and research work of Homerton College, to form a single university Department of appropriate scope and strength to engage in research and teaching of the highest academic quality
- to maximise both academic and financial benefits, it is proposed that the faculty should be accommodated on a single site.

Programme of work

As of 1 August 2001 the staff of Homerton College engaged in teaching and research transferred to the employment of the University of Cambridge.

The terms for the university's use of Homerton accommodation for teaching and research have been agreed and plans are now advanced for the provision of a new university building at Homerton College during the academic year 2004-05. The new building will replace the existing accommodation occupied by the faculty on several sites in Cambridge.

Detailed work has been undertaken to review the financial impact of the project.

Project outcomes

The faculty has made significant progress to strengthen its research profile and achieved a 5 rating in the 2001 Research Assessment Exercise. The planned changes to the composition of its student body are being implemented and associated adjustments to staffing levels are proposed for 2004 – 2010.

New accommodation and an integrated site will significantly strengthen the faculty's ability to further develop high quality teaching and research of international standing.

Project code: RLEA16

Restructuring the institution

Start date	August 2002
Expected completion	July 2003
Duration	One year
Cost	Total project cost: £1,154,877 HEFCE grant: £1,154,877
R&CF criteria	• Major changes to the academic portfolio • Structural realignments within institutions
Contact – Academic and curriculum design	Professor K Robinson, Deputy Vice-Chancellor (Academic) University of Luton Park Square LUTON LU1 3JU
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Aims and objectives

To strengthen and safeguard the provision of higher education in Bedfordshire by:

- repositioning the university's academic provision in line with sectoral trends in student demand at home and abroad
- developing a firm financial foundation through which to support future investment in student support.

Programme of work

The R&CF has enabled the university to manage better the transition process while some subjects with declining enrolments were being phased out and other subject areas were expanded to cater for increased demand. The R&CF support was part of the re-positioning strategy outlined in the five year strategic plan agreed with HEFCE in 2001. The HEFCE Board approved the action plan for one year, August 2002 to July 2003.

The programme of work primarily concerned staff restructuring, academic investment and strengthening the university's financial position.

Project outcomes

The intended outcomes include:

- restructuring of the academic portfolio with a shift away from weaker recruiting subjects such as politics, history, geography and foreign languages to strong recruiters such as media, marketing and computing
- initiating stronger links with FE to support the university's commitment to widening participation
- staff restructuring to reflect the new academic structure and priorities
- investment in infrastructure to support the subject areas with buoyant student demand.

Good progress has been made over the past year to implement the key dimensions of the plan. These include:

- achieving the university's agreed HEFCE and non EU student recruitment targets as outlined in the strategic plan 2001-2005
- exceeding the financial targets agreed with HEFCE in the budget projections for 2001-02 with an expectation of a similar performance in the current cycle based upon year-to-date financial reports
- satisfactorily phasing out of subject areas with minimum disruption to affected students
- agreeing and implementing a plan for re-investing in the estate and ICT/equipment infrastructure to be completed by 2005
- new course validation and pathway programmes to link with FE

Continued progress in the achievement of a repositioned academic portfolio that highlights growth in postgraduate and part time education.

East Midlands

Project code: RCEM01

Merger with Loughborough University

Start date	February 1998
Expected completion	November 1998
Duration	10 months
Cost	HEFCE grant: £512,000
R&CF criterion	Major constitutional change, particularly merger.
Contact	Michael Pearson, Bursar and Finance Officer Loughborough University LOUGHBOROUGH LE11 3TU
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Aims and objectives

To support a range of infrastructural initiatives that would permit Loughborough College of Art and Design (LCAD) to merge effectively with Loughborough University.

The project achieved its stated aims of:

- providing a dedicated library and learning resource centre
- providing additional equipment to support student learning
- rationalisation of the estate and disengagement with its neighbour, Loughborough College, by the purchase of the auditorium.

The project included minor works to compensate for lost space in Loughborough College, and most significantly the building of an extension which re-housed students from uninhabitable Portacabins and spaces within Loughborough College. This ensured that LCAD was able to provide Loughborough University with an estate in good physical condition, as identified in a survey carried out at the instigation of the university prior to merger.

Programme of work

The library and minor works were completed during the academic year 1997-98. The Great Hall was purchased during the summer of 1998. The fine art extension was completed in November 1998.

Project outcomes

All elements of the project have been completed. The library is judged to function effectively and offer good value for money.

The Great Hall, purchased as a shell, is to be converted into a 250-300 seat lecture theatre, a much-needed resource in that part of the university campus.

The support from the R&CF enabled the college to ensure that at the point of merger it could offer an academic resource of good quality, comparable to that on the university campus.

Project code: RCEM03

Higher Education Regional Consortium

Start date	1 August 1999
Expected completion	Ongoing project
Duration	Three years of initial HEFCE funding, followed by a further three years
Cost	HEFCE grant: £150,000
R&CF criterion	Collaborative arrangements between higher education institutions
Contact	Jenny Smith, Head of Office East Midlands Universities Association External Relations Loughborough University LOUGHBOROUGH LE11 3TU
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Aims and objectives

The aim of the East Midlands Universities Association (EMUA) is to promote and facilitate co-operation among East-Midlands universities and colleges, to the benefit of the region and these institutions. To achieve this aim, the association has the following key objectives:

a. Liaison: To act as a focal point for effective liaison and co-operation between the universities themselves; between the universities and key regional organisations, particularly the RDA, but also the Government office and other agencies; and where appropriate between universities and national organisations.

b. Development and delivery of policy in the region: to develop joint policies and approaches to regional agendas. To ensure that HEIs are active participants in the development and delivery of relevant regional strategies.

c. Project collaboration: to identify areas where internal collaboration would benefit HEI operations. To promote co-operative activities in the region and seek external funding to support these activities, including national and European funding which will bring additional benefits to the region.

d. Promotion: to promote the HEIs, their services, their role regionally and, where appropriate, nationally and internationally. To promote and exhibit good practice in regional co-operation. To publicise the role of the HEIs and EMUA in these activities.

Programme of work

The EMUA was established on 7 December 1998, with an inaugural meeting of vice-chancellors and principals of the region's 10 higher education institutions. The vice-chancellors and principals form the steering group which meets quarterly to drive policy and strategy. The executive committee, comprising nominated pro vice-chancellors and deputy principals, meets quarterly and directs the work of EMUA task groups (for example, Healthcare, European Funding, Innovation Business Outreach, Libraries, Careers, IT, foundation degrees, and Widening Participation task groups).

To support the running of the association, EMUA currently has a head of office (FTE), a project officer (FTE), and an office assistant (PTE). To date these posts have been funded by HEFCE start up funds, HEI subscriptions, and EMUA's Skills Development Fund.

Activities funded by HEFCE will focus on:

- facilitating business development in the East Midlands, through closer links with intermediary organisations, and development of a gateway to enable better access to HEI expertise
- enabling HEIs collectively in the East Midlands to reach the ambitious target set by Government for widening participation
- facilitating the dialogue between HEIs in the context of increased selectivity of mission, complementarily and strategic collaboration
- pursuing HE's regional role in a national and international context.

Project outcomes

1999-2000

- EMUA office established. Structure of association developed to facilitate collaboration in areas identified by a scoping study
- relationships developed with the RDA, Government Office and other regional bodies
- EMUA representation achieved on appropriate regional committees
- development of promotional materials
- development of a five-year business plan.

2000-01

- establishment of new task groups – move from policy and strategy to implementation of new activities developed by some of the task groups
- EMUA strategy successfully developed to support collaborative bidding resulting in funding for three projects: Lachesis Fund – UCII, East Midlands Science Enterprise Network – SECII, East Midlands Incubation Network – HEIF.

2001-02

- implementation of the successfully funded collaborative projects, plus continuing applications for funding for further projects
- funding secured for the collaborative development of:
    i. An East Midlands New Technology Institute.
    ii. Innovation Online.
    iii. An Innovation Strategy for the East Midlands HEIs.

iv. Research profiling in the HEIs with a view to enabling better exploitation of the region's knowledge base.

v. Development of foundation degrees.

Project code: RCEM05

Rationalisation of higher education provision

Start date	April 2001
Expected completion	July 2006
Duration	Five years, four months
Cost	Total project cost: £19 million net HEFCE grant: £2 million
R&CF criteria	• Collaborative arrangements between higher education institutions • Major changes to academic portfolio • Structural realignments within institutions
Contact	Professor David Asch, Pro Vice-Chancellor De Montfort University The Gateway LEICESTER LE1 9BH
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fax	0116 257 7616
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Aims and objectives

a. To develop academic provision delivered at the centres of excellence at the Bedford and Leicester campuses.

b. To focus the scarce resource available for investment (in both academic provision and infrastructure) on these centres of excellence.

c. Exit from Milton Keynes and Lincolnshire, where the university cannot sustain the investment needed to deliver a higher quality student experience in line with the university's mission.

Programme of work

a. Transfer all HE and FE provision in Lincolnshire to University of Lincoln (UL) by 31 July 2001, after which date there would be no new student recruitment in Lincolnshire.

b. Transfer all related staff and agreed physical assets to UL by 31 July 2001 and agree with LSC on arrangements (including release from asset deed) and continued FE contract.

c. Appoint University of Lincoln to teach continuing De Montfort University (DMU) students through a franchise arrangement until transfer or graduation and agree contract.

d. Sell freehold property and assign leasehold property in Milton Keynes.

e. End student recruitment in Milton Keynes from 1 August 2001.

f. Teach continuing Milton Keynes students in Milton Keynes during run-off period.

g. Consolidate all art & design and computing provision in Leicester.

h. Consolidate all education and sports science (and supporting subjects) in Bedford.

i. Replace agriculture HE provision with other provision.

j. Overall, build up HE student numbers to 2000-01 levels by 2005-06.

Project outcomes

a. 1 and 2 were achieved on 31 August 2001.

b. 3 was agreed and was operative from 1 September 2001 and worked well during 2001-02. Almost all students have now decided to transfer to UL for the 2002-03 academic year, so the arrangement will continue for the few remaining DMU registered students in Lincs. DMU funding from HEFCE has been amended for 2002-03.

c. 4 negotiations are under way for sale of the residential buildings and the assignment of the lease on academic buildings back to the leaseholder.

d. 5 completed.

e. 6, 7, 8 and 9 under way.

f. 10 HE recruitment in 2002-03 is in line with the targets set for the year.

The transfer in Lincolnshire is likely to be totally complete by the end of 2002-03.

Project code: RCEM06

Rationalisation of higher education provision

Start date	August 2001
Expected completion	July 2003
Duration	Two years
Cost	Total project cost: £20 million HEFCE grant: £3.17 million
R&CF criteria	• Collaborative arrangements between higher education institution • Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major constitutional change, particularly merger.
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Aims and objectives

The main elements of the project are:

- rationalisation of HE provision in Hull in collaboration with the University of Hull and Hull College
- rationalisation of HE provision in Lincoln and Lincolnshire in collaboration with De Montfort University (DMU)

Through implementation of these key elements the university aims to:

- secure and improve the quantum and quality of HE in two sub-regions in collaboration with regional HE and FE partners by developing complementary provision and by eliminating unnecessary competition
- support the development of a more effective response to the requirements of the two sub-regions, especially in terms of widening participation, by contributing to the establishment and operation of appropriate joint consultative and planning mechanisms
- establish the university as the University of Lincoln with a continued and significant commitment to Hull and East Yorkshire in collaboration with Hull College
- complete a major estate rationalisation in Hull, Lincoln and Lincolnshire, also in collaboration with the University of Hull and DMU, in order to support the above and to generate efficiency, quality and financial benefits
- restructure and reconfigure the university's academic and service provision in support of the above and in order to generate academic, cultural and social benefits to staff and students and the communities (old and new) which the university serves.

Programme of work

The main elements of the project are:

Generally

a. Rename the university to the University of Lincoln.

b. Transfer the university's administrative base and academic locus to Lincoln together with selected academic departments.

c. Ensure that appropriate measures are in place to protect and support students during a period of very significant change.

In Hull

- sign a memorandum of understanding between the University of Lincoln, Hull College and the University of Hull committing the institutions to joint planning of HE in the sub-region
- withdraw from the Cottingham Road campus, which is immediately adjacent to the University of Hull's campus, and transfer the campus to the ownership of the University of Hull

- develop and refurbish the university's Hull City Centre campus, which is contiguous with Hull College, to provide a focused range of programmes which articulate with the college's provision
- reconfigure the academic provision and associated student numbers in line with agreements between the universities and the college
- agree interim arrangements with the University of Hull in respect of the Cottingham Road campus during 2002-03 (as the university transfers provision to Hull City Centre and Lincoln).

In Lincoln and Lincolnshire

- agree, with DMU, the transfer of DMU's Lincoln and Lincolnshire based HE and FE provision (the Lincoln School and Art and Design and the Lincolnshire School of Agriculture) to the university and manage their subsequent integration into the University of Lincoln
- associated with the above, acquire, rationalise and integrate DMU's Lincolnshire estate including new build and refurbishment
- agree the transfer, to the university, of the student number funding contract associated with DMU's Lincolnshire provision.

Project outcomes

The main interim outcomes of this continuing project are:

a. The university has renamed itself the University of Lincoln.

b. The transfer of the university's administrative and academic headquarters to Lincoln is complete; staff transfers are substantially complete and will be fully complete by July 2003. The transfer of the School of Architecture is scheduled to take place in July 2003 on completion of a £10.5 million new build.

In Hull

- the memorandum of understanding between the university, Hull College and the University of Hull is complete and the three institutions are working together through the joint planning group, the Humber consortium and bilaterally, in line with the agreement
- the university's academic provision and student number plans have been reconfigured in line with the MOU and collaborative developments with Hull College are under way
- the Cottingham Road campus has been transferred to the University of Hull and interim arrangements have been agreed during the transfer period
- development and refurbishment of the Hull City Centre estate is under way, with Phase 1 to be complete by summer 2003.

In Lincoln and Lincolnshire

- the transfer of DMU's Lincolnshire provision, including the estate, is complete

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- interim arrangements, especially to ensure the support and protection of the students during the transition, have been agreed and implemented
- protocols for the transfer of funding contract have been established and the initial transfer has been implemented, with HEFCE support
- substantial progress on estates and infrastructure rationalization has been made including new build, refurbishment and disposals.

Project code: RCEM07

Restructuring of science, engineering and technology provision

Start date	September 2001
Expected completion	September 2003
Duration	Two years
Cost	Total project cost: £3.569 million HEFCE grant: £1.5 million
R&CF criteria	• Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major changes to academic portfolio
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Aims and objectives

a. To re-structure and re-profile science, engineering and technology to meet changing demand from students, employers and other stakeholders.

b. To facilitate the development of a range of cross-disciplinary and inter-disciplinary programmes.

c. To capitalise on existing strengths in terms of employability; links with the world of work; and academic quality and reputation as evidenced by QAA subject review and accreditation from professional bodies.

d. To re-direct resources from areas of limited growth and developmental potential.

Programme of work

The project is separated into three strands:

- Strand 1 School of Property & Construction – a Learning Resource Centre, comprising a substantial renovation of a large open area in a Grade II listed building, has been completed, incorporating two computer rooms and ancillary rooms. In addition a large open resource and learning area has been developed for students to provide a focus for the school's work. During 2001-02 the rationalisation of undergraduate provision began, resulting in a reduced portfolio of modules; this work continues in 2002-03 with a review of programmes.

- Strand 2 a Centre for Creative Technologies will be equipped and operational by the end of November 2002. A number of programmes are now validated which will utilise the physical resources of the Centre – BSc (Hons) Multimedia Production, BSc (Hons) Multimedia Technology and BSc (Hons) Audio Visual Technology. Further programmes are proposed for validation in 2003 – BSc Audio Visual Production, BSc Entertainment Technology and MA Art.
- Strand 3 at the university's Brackenhurst Campus as part of larger developments the funding has provided horticulture facilities within a new building, including a CAD studio, drawing studio, staff offices, laboratories and a new entrance and display area. These facilities support a number of new programmes including, BSc Floriculture, BSc/BA Landscape & Heritage and Foundation Degree Horticulture (validated during 2001-02).

Project outcomes

The outcomes to date are:

- Strand 1: The launch of a new School of Property and Construction, and a reduced portfolio of modules
- Strand 2: Centre of Creative Technologies – Provision of equipment within the centre to support a range of new programmes embracing current interaction between artists, designers and engineers
- Strand 3: Brackenhurst Campus – Provision of horticulture facilities within the Department of Land Based Studies supporting a range of new programmes.

Project code: RCEM08

Restructuring of science provision

Start date	July 1999
Expected completion	July 2003
Duration	Five years (three years HEFCE funding)
Cost	Total project cost: £7 million HEFCE grant: £1.53 million
R&CF criterion	Major changes to academic portfolio
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Aims and objectives

The main elements of the project are:

- restructuring the academic and support staff base to more realistic and affordable numbers
- closure of the Grimsby campus and the relocation of science provision to the new Lincoln campus
- a comprehensive review of the science provision, combined with investment in new subjects.

Through implementation of these key elements the university aims to:

- improve its ability to respond to the continuing changes in science needs in the United Kingdom
- become more responsive to student demand and thus better able to make an improved contribution to the supply of scientists
- be better able to underpin and support planned developments in areas such as physiotherapy and nursing through a broadening of the sciences curriculum
- provide a range of R&D services to regional businesses and the community to support improved efficiency, competitiveness and the availability of high level skills in the work force
- contribute to the East Midlands RDA strategy objective of developing a 'University for Food' in Lincolnshire.

Programme of work

The main stages of the project are:

a. Staff restructuring, to include:
    - retraining and staff development of both academic and support staff
    - appointment of new academic and support staff in specialisms associated with the development of the sciences curriculum.

b. Facility development, to include:
    - re-equipping science laboratories
    - re-investment in specialist library and learning support provision
    - specification and commissioning of new laboratory provision.

c. New science provision, to include:
    - review of provision prior to the start of the project
    - development of new and broadened curriculum
    - identification and marketing of new science curriculum.

Project outcomes

The main interim outcomes of this continuing project are:

- identification, planning and implementation of a full training and staff development programme to support curriculum development, implementation of new curriculum, and most effective use of the new science facilities
- new appointments continue to be made, both to teach new and specialist areas of curriculum, and to manage, support and operate new technical facilities
- laboratories already commissioned for continuing cohorts and for new student cohorts have been fully equipped; all laboratories already commissioned are fully specified and operational for both teaching and research
- it is planned that laboratory commissioning will be complete by the start of academic year 2003-04 in order to meet planned increases in demand for facilities
- learning support facilities, including ICT support, have been developed and repositioned to achieve a better fit with the new sciences curriculum
- curriculum which was delivered prior to commencement of the project has been completely reviewed both for undergraduate and postgraduate programmes
- significant progress continues to be made in the development of a new sciences curriculum
- the recent merger with the Lincolnshire School of Agriculture (ex De Montfort University), which is the subject of a separate R&CF project, has generated additional opportunities for developments in teaching and research, which are being actively progressed
- the new science curriculum has been comprehensively marketed to student recruitment markets, but also directly to employers, science advisers, and other bodies having an interest in the development of science-based services and industries
- the new and expanded science curriculum is proving increasing attractive to undergraduate students with recruitment to science programmes exceeding plan in 2001-02 and 2002-03.

London

Project code: RCLO06

Restructuring of science teaching and research, with transfer of physics to UCL

Start date	October 1997
Completion	July 2001
Duration	Four years; funding from HEFCE was for first three years
Cost	Total project cost: £2,064,000 HEFCE grant: £1,892,000
R&CF criteria	• Major changes to the academic portfolio • Structural realignments within institutions
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Aims and objectives

The aim of the project was to support the restructuring of the college's science teaching and research provision. Its main objectives were to:

- close the department of physics and transfer its teaching and research activities to University College London (UCL)
- refurbish the accommodation of the former department of physics for use by other teaching and research staff and students
- refurbish selected laboratory and research facilities for the school of biological and chemical sciences and the school of crystallography
- support the cost of replacement research equipment for the school of biological and chemical sciences.

Programme of work

Stage one: October 1997 – closure of the department of physics and transfer of three academic and one technical staff to UCL. Also transfer of the BSc in physics to UCL from the same date. Severance terms agreed with the department's remaining staff. The transfer to UCL was underwritten by a programme of payments to UCL in respect of teaching funds.

Stage two: 1998-99 – planning and implementation of accommodation refurbishment project for those areas formerly occupied by the department of physics.

Stage three: 1999-00 to 2000-01 – refurbishment and reorganisation of laboratory space in the school of biological and chemical sciences. Purchase of spectrometry and related research equipment for the biomedical analysis centre in the school.

Project outcomes

Although the college has ceased to offer teaching in physics at undergraduate level, the part-time BSc in physics continues to be provided at UCL following its transfer; it is now run as a University of London intercollegiate course under Birkbeck regulations. The course is run from the UCL Department of Physics and Astronomy. The department is able to provide a high standard of teaching and a much wider range of facilities than was previously possible. As a result, student choice has been preserved and enhanced.

Within the college itself the project has brought benefits in a number of ways. Closure of the Department of Physics released circa 700 m² of mixed teaching and office accommodation. About £690,000 of the grant was used to refurbish this space, with the exception of 180 m² which was demolished in 2001. The space has been used to facilitate the development of Birkbeck's teaching, learning and research work through provision of new facilities made fit for purpose. The developments include the following.

The School of Crystallography has been provided with a new and much enlarged computer server/machine room. Lack of space in their old facility threatened to severely constrain computing capacity in the college's most IT-intensive department. The new facility has enabled the college to set up a 'multi-school virtual centre' in Bioinformatics and Neuroinformatics, embracing the Schools of Computer Science and Psychology as well as Crystallography.

The School of Biological and Chemical Sciences were allocated £250,000 from the restructuring funds, and a further £100,000 funds for general refurbishment. This money was used to acquire new research equipment and to replace obsolete facilities. The School is building on its strengths in the analytical sciences and is now establishing a Centre for Biomedical and Environmental Mass Spectrometry and NMR.

Other accommodation, released by the closure of the Department of Physics, has been refurbished to provide high quality teaching rooms for use by all students. Former office space was gutted and refurbished to provide an extension to the library including 30 study spaces and an area dedicated to the development of electronic library resources.

The release of accommodation facilitated by this grant has also enabled the college to demolish the annex formerly occupied by staff of the Department of Physics, and to re-develop this area as the central space in Birkbeck's major redevelopment of its Main Building. This project, costing £18.4 million, will create new teaching, research and staff areas of circa 5,000 metre², and is scheduled for completion in July 2003. Although this major project was not funded by the R&CF grant, the allocation of those funds acted as a catalyst in helping to make possible a much larger development which will bring substantial benefits for the college as a whole.

Project code: RCLO11/L

Restructuring and rationalisation of the estate to three main sites

Start date	November 2000
Expected completion	2001
Duration	Up to 10 years for the whole estate redevelopment project

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Cost	Total project cost: £60 million HEFCE repayable grant: £4 million
R&CF criterion	Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector
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Aims and objectives

The university is now into its third year of the implementation of a development strategy designed to rationalise its estate onto three main sites. By the end of this academic year, achievements will include:

- a reduction in the number of campuses from ten to six (following the disposal of the Bounds Green, Quicksilver Place, Ivy House and Bedford campuses)
- the mid point reached in the two-year project for the construction of a new Learning Resource Centre at the Hendon campus
- outline planning permission for the development of a new campus at Tottenham Hale (Lee Valley campus)
- submission of an outline planning application for new development at the Trent Park campus.

Programme of work

In support of the strategy, HEFCE has awarded a grant of £4 million for new developments on two existing campuses, and a repayable grant of £4 million to enable the purchase of land for a new campus.

Grant 1: Learning Resource Centre, Hendon Campus

a. A grant of £4 million was awarded in March 2000 as a contribution towards the total cost (£17 million) of construction of a new Learning Resource Centre. The new LRC will provide a state of the art facility for the university's busiest campus, and will enable the accommodation of additional students from another campus.

b. Following a lengthy process in obtaining planning permission, works started on site in August 2002 with a view to completion by June 2004. After the first seven months the project is within budget and in line with programme targets. Arrangements have been made to 'draw down' from the HEFCE allocation in line with the progress of the project.

Grant 2: Learning Resource Centre and new Academic Space, Trent Park Campus

a. A grant of £4 million was awarded in March 2001 as a contribution towards the first phase of new development at Trent Park. A framework for development has been agreed with the London Borough of Enfield and English Heritage, following negotiations over a period of nearly two years. In line with this framework, recommended consultations are proceeding with local stakeholders and an outline application will be submitted to the local planning authority in April 2003. It is anticipated that it may be as long as a year before a decision is known, at which point a detailed application can be completed. Development on site is unlikely to be possible before the early half of 2005.

Project outcomes

Interest-Free Loan: Purchase of Land for Lee Valley Campus

A repayable grant of £4 million was made at the end of 2000 to enable the university to purchase the former Greater London Supplies site at Tottenham Hale for a new campus. The 12-acre site was acquired for a total of £8 million. An outline application was submitted to the local planning authority in August on a temporary basis to a local commercial firm for storage purposes. Arrangements have been made with the Funding Council to repay the £4 million loan in 2003-04.

Project code: RCLO14

Relocation of Chelsea College of Art

Start date	Completion of the site purchase 28 February 2001
Expected completion	relocation of the totality of the college scheduled for autumn 2004
Duration	Four years
Cost	Total project cost: £62 million HEFCE grant: £2 million
R&CF criterion	Structural realignments within institutions
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Aims and objectives

- to consolidate Chelsea College of Art and Design on a single high quality fit for purpose site from its four widely dispersed and unsuitable sites in West London
- to locate Chelsea College alongside Tate Britain, thereby laying the foundations for collaboration.

Programme of work

- stage 1 site purchase
- stage 2 appointment of design team
- stage 3 achievement of planning consent

- stage 4 completion of design work and enabling work
- stage 5 construction commences on site
- stage 6 occupation.

Project outcomes

The key to this project was the acquisition of the former Royal Army Medical College site at Millbank. The R&CF support from HEFCE was a decisive factor in securing the site for the London Institute.

The consolidation of Chelsea College of Art and Design on a single site in a suitable location was a key part of the institute's estates strategy. Sufficiently large sites in central London are rarely available and this site alongside Tate Britain was unique insofar as the listed buildings on the site were capable of adaptation and addition to provide suitable studio and workshop space. The sale of the existing sites will ultimately provide much of the financing for the purchase, refurbishment and additional building.

The planned programme of refurbishment, adaptation and extension works is on track for completion by September 2004, allowing Chelsea College of Art and Design to consolidate its activities on the Millbank site thereafter. The design team appointments were completed by October 2001 and detailed planning consent obtained in April 2002. The process of selecting and appointing contractors is under way.

Project code: RCLO15

Merger with Wye College

Start date	Merger discussions commenced in March 1998
Expected completion	Works to support the first stage of the merger strategy were completed in July 2002
Duration	Four years, five months
Cost	Total project cost: £5,156,714 HEFCE grant: £2,500,000
R&CF criterion	Major constitutional change, particularly merger
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Aims and objectives

The aim of the project was the merger of Wye College of Agriculture with Imperial College London. It was founded on a vision of academic synergy between the two institutions which would maintain and improve the quality, range and scope of research and education available nationally and internationally. Wye's academic strengths in agriculture, terrestrial

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renewable natural resources, the food industry and rural development would be brought together with Imperial's strengths in science, technology and medicine, particularly in the areas of biological and environmental sciences. The objectives were to define and maintain the very highest quality of teaching and research in these areas on the Wye campus whilst securing financial viability and stability.

The strategy for the merger was to re-draw the academic profile at Wye to reflect Imperial's teaching and research ethos and levels of activity, and to 'add-value' to all provision at Wye. Administrative and academic support services would be restructured within existing departments at Imperial College.

Programme of work

- March 1998: Commencement of merger discussions
- October 1998: Signing of memorandum of understanding
- October 1998 to August 2000: Restructuring prior to merger
- June 1999: Passing of Act of Parliament
- July 1999 to July 2002: Harmonisation and upgrading of facilities
- August 2000: Merger
- July 2002: Completion of works to support first stage of merger strategy

The key activities underpinning the merger and supported by funding from the R&CF were as follows:

a. Preparing the merger proposal including all legal requirements relating to academic and corporate governance.

b. Measures to secure financial stability in the short-term.

c. An essential rationalisation and restructuring exercise involving academic, senior management and support staff.

d. Work to harmonise and link the administrative and academic services between the Wye and South Kensington campuses. This expenditure was essential to the smooth running of these administrative services and to achieving value for money, an objective of the merger. The Wye and South Kensington campuses are 60 miles apart so a compatible, efficient means of electronic communication was essential.

e. Management of the transfer of staff.

f. Some essential work at the Wye campus to upgrade teaching and laboratory facilities to a standard consistent with those at Imperial College's South Kensington campus. This was integral to the merger strategy of re-orienting the academic provision at Wye and supporting initiatives to offer new integrated undergraduate teaching options.

Project outcomes

The merger of Imperial College and Wye College of Agriculture took place on 1 August 2000. All management and administrative systems have been integrated. A new Department of Agricultural Sciences has been created within the Faculty of Life Sciences and a new head appointed to develop and take forward the academic strategy. The funding from the R&CF

has been essential to the successful outcome of this project which has laid down the foundations for the full realisation of the vision for merger.

Project code: RCLO16

To commission a project which will enable the development of a national centre of excellence for the arts

Start date	September 1999
Expected completion	Complete
Duration	Three years
Cost	Total project cost: £1.6 million HEFCE grant: £50,000
R&CF criterion	Structural realignments within institutions
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Aims and objectives

The aim is to commission a project which will enable a location on the college campus to be developed as a national centre of excellence for the arts.

Objectives are:

- the consolidation of a department rated 5 in the last RAE, which is presently spread over 20 locations, and the subsequent consolidation of and improvement to the accommodation of other unsuitably housed and dispersed departments to improve efficiency and to permit an increase in student numbers
- the creation of an appropriate planning environment for the development of the area and departments involved as a national centre for the arts, by procuring a number of properties on the St James's site to complete a major component in the college's estates strategy, first articulated in 1988-89, including the acquisition of freeholds of leased properties.

Programme of work

The planning authority, the London Borough of Lewisham (LBL), has included an objective within the borough's unitary development plan to assist the college in its endeavours. LBL has granted approval for change of use of former residential property on the site to academic purposes and an application is presently under consideration for change of use of further, very run down properties for use for College purposes. The freehold has been acquired of the former Deptford Town Hall, which had previously been occupied on lease from LBL and represents a major focal point for the site. This is providing substantial savings in the lease rent.

The freehold of a day nursery is in process of acquisition from the Local Authority. A lease has been agreed with the occupants for its relocation when the ground it occupies is required for redevelopment. After considerable delay, the freehold of shops and flats in New Cross Road adjacent to Deptford Town Hall have now been acquired from LBL and legal advice is being sought to gain vacant possession and/or appropriate rental income. As a consequence of the activity thus far, two additional properties not previously thought to be available have been offered to the college, making the site almost exclusive to Goldsmiths.

Phase 1 of the Arts Complex, funded partially from Poor Estates and SRIF grants, has now commenced and is planned to be completed in time for the start of 2004-05. A fund raising organisation has been put in place to generate private funds for subsequent phases, and discussions are ongoing with London Development Agency and LBL.

Project outcomes

The duration of this phase of the operation has been more extended than originally envisaged. Difficulties have arisen through the need to deal with a large number of small properties, some in the hands of squatters, where the records of the previous owner were absent or incomplete.

The interim outcome of the securing of properties on the St James's site to enable a reorganisation of property use to take place, enhancing efficiency and permitting a growth of student numbers, prior to the construction of the arts centre, has now been achieved

The final outcome will be realised in approximately five years.

Project code: RCLO17

Restructuring of the academic portfolio

Start date	August 2001
Expected completion	July 2004
Duration	Three years
Cost	Total project cost: £3.330 million HEFCE grant: £1.607 million
R&CF criteria	• Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

The institute adopted a new academic structure in 2001-02. The restructuring brought specialist academic staff together in larger inter-disciplinary units, rationalising teaching and research and providing greater opportunities for collaboration and development. As part of the restructuring, many of the functions previously managed centrally will be devolved to academic schools and units. This process of devolution will enable schools and units to consolidate and target available resources effectively and, in turn, free capacity within the central management team to focus on strategic planning, quality management and the co-ordination of developments across the institute.

The revised structure will support implementation of a major strategic review of the institute's activities, which it completed in 2001-02, the recommendations of which form the basis of a revised corporate plan. The project supports implementation of the new structure and academic developments set out in the institute's corporate plan through:

- the development of networked MIS systems, providing academic managers with desktop access to the information required to fulfil their devolved responsibilities and contribute effectively to institutional planning
- the strengthening of its ICT infrastructure and the technical services needed to support developments in teaching, research and third stream activity identified by the strategic review.

Programme of work

The project has three elements:

- strengthening the institute's ICT infrastructure
- supporting academic developments within the new schools and units
- developing management capacity.

In ICT, R&CF funding has enabled the institute to invest in additional servers, storage capacity and network edge provision. New academic appointments have also been made to support developments, and in particular the development of flexible, mixed-mode routes to extend access to existing specialist provision. R&CF funding has also supported the development of management capacity through the launch of a networked MIS for both the central management team and senior staff within the schools and units. Development work in each area will continue until the end of 2002-04.

Project outcomes

The outcome of the work completed to date, and the objectives of future development work, are summarised below for each element of the project.

Strengthening the institute's ICT infrastructure

Additional servers and storage

- a mass disk storage system has been installed, providing 1 terabyte of additional storage for use by staff and students. Data backup procedures for critical systems have been simplified

- during 2002-03 the modular central storage system will be further enhanced, providing powerful servers to support developments in teaching and research.

Network edge provision

- control network switches have been installed, enabling the institute to prioritise traffic across the network and supporting projected increases in network use to support the development of mixed-mode provision (including video conferencing and streaming).

Supporting academic developments within the new schools and units

Course development

- two R&CF-funded lecturers were appointed in 2001-02, and undertook a range of work to support Institute-wide developments including: the development of guides and web templates for on-line teaching; the evaluation of existing virtual learning environments and computer aided assessment systems; and the development of new course proposals for on-line delivery
- during 2002-03 and 2002-04 R&CF-funded staff will provide targeted support for the development of further courses, based on the guidance and templates now in place.

Developments within the new schools and units

- 200 members of staff have been relocated and over 30 new staff offices created. A number of support departments are also being re-modelled to support enhanced services to students and staff
- teaching accommodation, including a specialist drama studio, has been refurbished providing enhanced facilities for staff, students and local community projects.

Developing management capacity

Management information system

- a detailed user survey was completed in August 2001 to identify priorities, and a project plan agreed by the institute's Planning and Resources Committee. Tenders for MIS software were invited early in the autumn term, with the successful package installed in November 2001. Following an intensive period of development work, the MIS was launched in early January 2002 to coincide with the formation of the new schools. The range and sophistication of information available via the MIS will be extended over the life of the project.

Student information system (SIS)

- R&CF funding has also contributed to the costs of a new integrated SIS serving both the central registry and schools and units. Tenders were invited early in the spring term 2002. The first modules of the new system were launched for the start of the 2002-03 session. The phased launch of further modules will be completed early in 2002-04.

Project code: RCLO19L

Development of a learning resource centre

Start date	October 2001
Expected completion	April 2003
Duration	One year six months
Cost	Total project cost: £8 million HEFCE grant: £1 million Repayable grant: £1 million
R&CF criterion	Structural realignments within institutions
Contact	A N Smith, Secretary and Registrar The Royal Veterinary College Royal College Street LONDON NW1 0TU
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Aims and objectives

The purpose of the project is the construction of a building to house the college's new institutional and academic management organisational structures, together with learning resources, on the campus which has developed into the site of the college's major activity.

Within this overall purpose, the project has three aims:

a. To co-locate the college's new units for institutional and academic management with the departmental academic and clinical functions to be managed (from which they are currently separated).

b. To transfer library functions from an inadequate and structurally unsatisfactory building into a purpose-designed facility where they can be co-located with IT functions (also currently unsatisfactorily housed) and be enabled to meet the demands of increased numbers of staff and students.

c. To enable consequential functional re-organisation of space in existing buildings at both the Hawkshead and Camden Campuses for college activities and ventures with collaborating partners.

Programme of work

The programme of work undertaken thus far is as follows:

- initiate, develop and refine user perspectives on the functions, content, design and specification of the building
- appoint the design team
- secure funding
- establish outline design

- negotiate with local planning authority to secure planning consent
- further negotiate to secure Section 106 Agreement
- finalise the design, content and specification for the building
- tender the project and appoint contractor.

The contractor started on site in October 2001 to begin a phased programme of work. As of November 2002 this programme was about two-thirds complete. It is anticipated that practical completion will be achieved about late March or early April 2003.

Project outcomes

It will not be clear to what extent the aims set out above have been achieved until the new building has been in occupation for several years.

However, the process of designing and planning for the new building has highlighted a number of positive developments. Library and IT staff have identified more scope for collaborative working and for innovation in curriculum delivery than they initially anticipated. The prospect of physical relocation for a number of senior management functions has prompted further consideration of the college's management structure and how it operates.

Project code: RCLO20

Academic realignment and re-equipping

Start date	July 2001
Expected completion	February 2003
Duration	Two years
Cost	Total project cost: £1 million HEFCE grant: £1 million
R&CF criteria	• Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

The development of digital technology is having an increasing impact on both the design and the broadcasting disciplines by changing what they do and how they do it. The traditional boundaries between these disciplines are blurring and it is necessary for Ravensbourne to recognise these changes in a timely and appropriate manner, by converging the curricular resources and facilities of its major courses.

Ravensbourne has had a commitment to the increasing application of digital technologies in its courses for the past five years, by allocating a significant annual incremental investment. This has enabled the college to achieve a strong national and international reputation in digital technologies at both undergraduate and post-graduate level and to develop a niche focus for the college in practitioner HE. No other institution in the region has a comparable approach.

Internal and external drivers now indicate that is timely to make a step change in the college's development and move away entirely from its old analogue environment to that of a fully digital facility. This would be a threshold development, driven internally by the Digital Futures Group and the need to achieve the college's strategic objectives of convergence of all major academic disciplines within a digital framework. Externally, the commercial world of the design and broadcasting industries, are experiencing a digital transformation and both directly and through Ravensbourne's Industrial Advisory Board, are urging the college to develop resources that will allow students a fully digital experience.

This project has a high strategic value. It is consistent with, and will facilitate achievement of the college's strategic objectives and initiatives developed and progressively refined over the past five years, in particular the expansion of student numbers in key strategic areas identified for higher education by the Government and the focus of digital technologies:

a. To enable curricular realignment and integration of the college's major academic disciplines.

b. To update and enhance digital prototyping and broadcasting facilities, in line with current and future professional practice, and the balance of learning activities, by creating a large 'hub' facility for high-end computer production and new digital broadcasting studio with dedicated trainer/technicians.

c. To reconfigure internal space to relocate all cognate design and broadcasting courses in adjacent areas, reflecting the increasing importance of digital technologies, and inter-disciplinary, collaborative and convergent working across design and broadcasting disciplines, particularly in the creative application of high-end digital (production) technologies.

d. To free up space, and improve space utilisation, in order to accommodate additional student numbers, particularly the new foundation degrees, and to accommodate unmet demand in both design and broadcasting courses.

e. To improve environmental quality and provide a better fit between group sizes and teaching rooms.

f. To develop further the relationship with the college's industry partners, and to respond rapidly to advice from the college's Industry Advisory Board, to ensure the continuing relevancy of its courses.

Programme of work

Activity/target date:

Phase 1: Development of 3DD area

- dismantle/dispose of obsolete machine tools – Oct 2001

- purchase /commission visualisation/electronic prototyping and engineering ICT kit, install network/service cabling throughout – Oct 2001
- make good virtual environment studio spaces and teaching rooms – Nov 2001
- staged relocation of distributed high-end specialist ICT resources into new 'hub' computer labs – Dec 2001
- relocate BA Interaction Design, BSc Communication & Technology and PG Interactive Digital Media student base rooms to Virtual Environment area – Jan 2002.

Phase 2: Development of broadcasting area

- work on broadcast/video facilities – June 2002
- install network cabling, commission equipment – July 2002
- decant and reconfigure to create teaching and studio space, relocate and consolidate broadcast equipment and system – Dec 2002
- acquisition of full suite of digital broadcast equipment (purchase/loan/donation), rationalise and consolidate existing studio/post-production facilities, create new (additional) fully digital studio – Jan 2002
- refurbish electrical/electronic broadcast workshops, dismantle/dispose of obsolete kit, and relocate to new prototyping/engineering labs in former 3DD area – Feb 2002.

Project outcomes

Phase 1: Development of 3DD area

- dismantle/dispose of obsolete machine tools – Oct 2001
- purchase/commission, visualisation /electronic prototyping and engineering ICT kit, install network/service cabling throughout – Oct 2001
- make good Virtual Environment studio spaces and teaching rooms – Nov 2001
- staged relocation of distributed high-end specialist ICT resources into new 'hub' computer labs – Dec 2001

Project code: RCLO23

Development of the Surrey Federation

Start date	August 1999
Expected completion	Federation established January 2000, development continuing with evaluation submitted June 2001
Duration	One year, 11 months
Cost	Total project cost: legal fees of £54,125 incurred HEFCE grant: £50,000 reimbursed toward legal fees
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

To set up a federation between the University of Surrey (UniS) and the University of Surrey Roehampton, previously the Roehampton Institute London (Roehampton). The association between the two institutions dates back to 1982 when UniS took over the University of London's role in validating courses at Roehampton.

Programme of work

The process of setting up the federation took just over a year:

a. August 1998: Privy Council agreed the principle of the federation being established by means of amending Surrey's Royal Charter.

b. December 1998: the detailed framework for academic federation was approved by the two institutions' Councils and Senates.

c. January 1999: Privy Council and Department for Education & Employment approved the necessary changes to the formal institutional statutes and the change of title to University of Surrey Roehampton to take place in December 1999.

d. December 1999 – the institutions signed the Deed of Federation.

e. 1 January 2000: federation came into formal existence.

From January 2000 onwards work has taken place to realise the objectives that were set out in the Deed of Federation. This has included the embedding of the Federal Committee structure and the development of collaborative activity. In June 2001 a report detailing the work leading up to the establishment of the federation and the subsequent development of the academic collaboration was submitted to HEFCE, fulfilling the requirement for funding from the R&CF.

The grant from the R&CF was used to reimburse a proportion of the legal fees involved in the setting up of the Surrey Federation. The grant was released on the production of a comprehensive report titled 'Report to the HEFCE on the Establishment and Implementation of the Surrey/Roehampton Federation, including some key issues for other parts of the higher education Sector' to be used by HEFCE as a case study for the sector.

Project outcomes

The two major outcomes of the project have been achieved:

a. The development and establishment of the University of Surrey Federation on 1 January 2000.

b. The evaluation and documentation of the development of the federation for the benefit of the higher education sector. The development of academic collaboration is continuing within the legal framework that was set up. This has included:

i. A review of quality assurance procedures and policies in place at each institution with convergence where appropriate.

ii. Development of joint research and taught programmes.

iii. Joint research projects.

iv. Joint cross-institutional collaboration in appropriate areas, such as, undergraduate skills development, responses to disability legislation, staff development and marketing.

Project code: RCLO25

Rationalisation of the estate

Start date:	March 2002
Expected completion	March 2005
Duration	Three years
Cost	Total project cost: £13.75 million HEFCE grant: £2 million
R&CF criterion	Major constitutional change, particularly merger
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Aims and objectives

a. A single site for the School of Slavonic and East European Studies (SSEES) currently split between the University of London, Senate House and 21/22 Russell Square.

b. Improved teaching and research accommodation.

c. Better integration of SSEES with allied academic departments in UCL.

Programme of work

- design: March 2002 and ongoing
- procurement: November 2002 to May 2003
- construction: summer 2003 to spring 2005
- fit out: spring 2005 – summer 2005.

Project outcomes

The programme of work, as outline above, is on schedule, with no changes to the project definition.

Project code: RCLO26

Options review into merger/collaborative arrangements

Start date	April 2002
Expected completion	October 2002
Duration	Seven months
Cost	Total project cost: £25,000 HEFCE grant: £21,973
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The project sought to review a range of options for the school in relation to strategic alliance and/or merger in reinforcing the school's position in delivering and developing its portfolio of activities. The objective was to identify a range of potential partners to be further explored and offer an indication of priority to inform governors' decision making.

Programme of work

The programme of work was conducted in accordance with the timescale set out as follows.

Phase	Timing (approximate)	Days
1. Analysis and review (including some work in the school related to the new plan)	April-May	7
2. Investigation of options	May-Sept	8
3. Report and discussions with SMT and governors	Oct	5
Total		20

Project outcomes

a. A copy of the project report was submitted to governors on 22 October 2002 and a copy of the governors' decision was circulated to staff immediately. Discussions are now taking place between the principal and the chief executives of each of the institutions where strategic alliance might be developed further. Conversations have taken place with Sir Michael Bichard (The London Institute), Gavin Henderson (Trinity College of Music) thus far and meetings are planned with Professor Peter Scott (Kingston University) and Professor Patrick Dowling (University of Surrey) in the near future.

b. Staff teams at Wimbledon are working on the academic viability of each option and the Resources Department of the school will be undertaking financial modelling against each option.

c. An initial response will be presented to the November governors' meeting, prior to a fuller paper to governors in February.

d. Discussion has taken place with the HEFCE regional consultants for all the institutions involved and the school is now seeking further meeting with the HEFCE chief executive to explore in particular the viability of further work in relation to the Trinity option before further work on this proceeds.

Project code: RCLO28

Feasibility study for strategic collaboration

Start date	May 2002
Expected completion	August 2002 Report agreed on 23 September and final version received on 4 October
Duration	Three months
Cost	Total project cost: £70,000 HEFCE grant: £60,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The aim of the project was to investigate the feasibility of collaboration between the two institutions across academic departments, infrastructure and enterprise. This would build upon existing collaborative activity and evaluate the possibility of further developments. The initial aim was to establish areas where collaboration could take effect in the short term between the two institutions in order to develop and promote the success of the relationship, with the possibility of subsequently forming a strategic alliance.

The objectives were:

- to analyse the basis for joint operations by two separate institutions working in the west south west of London
- to seek to secure the benefits of joint planning and scale economies in delivering both institutional missions without the disruption of institutional merger and/or relocation

- to evaluate the possibility of developing a strategic alliance and identify a programme of future areas for collaboration
- to develop existing academic collaborations, arising from SRIF, for joint planning of collaboration to produce an increased volume of high-calibre research, development of joint postgraduate programmes and curriculum sharing at undergraduate level, and to explore other subject areas
- to investigate the potential for co-locating some enterprise activities on Brunel's Runnymede campus and extending activities in such areas as incubator units and conferencing/office facilities
- to provide a model for infrastructure collaboration and evaluate the opportunities for, and benefits of, more extensive collaboration beyond the initial areas of human resources and health and safety.

Programme of work

- to develop, within the area of academic collaboration, those activities offering the greatest potential for further development: outreach, CPD, web-based learning and shared information on research activities, with targets for collaborative research grants and contracts
- to explore the potential for developing shared activities in the infrastructure areas of staff development and training, health and safety and occupational health
- to continue to develop existing collaboration in enterprise activities into a more formal alliance, with the possibility of developing a joint physical presence in the local area
- to work towards the sharing of teaching of management and American studies and politics modules, possibly through the development of web-based provision or the use of communication technology, to broaden the range of courses available or to maintain the specialist ones in a viable way
- to share research plans and bring staff together from the counterpart departments in most of the subject areas which formed part of the study
- to build confidence and a better understanding of the potential for a further strategic alliance by developing the ethos of structured collaboration within both institutions and with each other.

Project outcomes

The two universities are pursuing the recommendation in the report that multilateral collaboration on a departmental basis should be one of the foundations of future development. A four-way partnership for the marketing and management of knowledge transfer from higher education across the sub-region is being explored, comprising Reading and Surrey Universities, Royal Holloway, University of London and Brunel.

The programme of work identified is now being put into operation, through the meeting of relevant institutional managers and academic staff, the sharing of information and the investigation of the opportunities to develop shared activities in these areas. The following are under discussion: a four-way partnership with the same institutions to maximise outreach activity; the establishment of shared resources for CPD marketing and web-based learning projects; and the potential for a joint academic management facility. Further discussions are progressing in relation to infrastructure, including the potential for collaboration on staff development and training, health and safety, occupational health and other administrative services.

Project code: RCLO29

Development of initial business plan into merger

Start date	September 2001
Expected completion	University Board final approvals July 2002
Duration	Six months
Cost	Total project cost: £200,000 HEFCE grant: £100,000
R&CF criteria	• Collaborative arrangements between higher education institutions • Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major constitutional change, particularly merger • Major changes to the academic portfolio • Structural realignments within institutions
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Aims and objectives

The aim was to create a business plan for what was, at the time of undertaking the work, a hypothetical university notionally formed by the merger of the University of North London and London Guildhall University.

The main objectives were:

- to explicate an academic vision for a new, merged university
- to derive a separate business plan (the 'merged plan') for this 'new' university consisting of elements of the two previous institutions, allowing comparison of the 'merged plan' with the 'aggregated plans' of the two separate universities
- to model the merged business plan on 'base case', 'worst case' and 'best case' scenarios
- by comparison between the 'aggregated' and 'merged' plans, to analyse the desirability of merger, while also showing the actions necessary for the merged business plan (and hence, to a large extent, any actual merger) to succeed

- to undertake a risk analysis of the merged plan and the assumptions underlying it
- to submit the academic vision, the final merged plan, and the risk analysis to HEFCE; to be used, if appropriate, as the basis for a bid for further funding to support an actual merger
- to obtain due diligence reviews of the two universities to identify potential issues that might influence the decision of whether or not to merge
- to determine the necessary legal steps to effect the merger in the most efficient way.

Programme of work

a. Discussion between senior staff of the two universities on the possibility of merger began well before the detailed work on the business plan, extending back into the year 2000. These discussions began with a shared analysis of the possible future of higher education in London and the UK more generally.

b. Comparisons of mission and of academic portfolio followed, including early consideration of structural matters.

c. A due diligence report was commissioned, with the same scope for each of the universities.

d. Legal advice was commissioned, to advise on the legal process and assist with documentation.

e. These discussions indicated that an analysis of the long-term financial viability of a merged university was required, and that it should be compared with the financial viability of continuing as separate entities.

f. Work on the business plan commenced in September 2001. The early considerations were concerned with an academic vision for the university, upon which the financial modelling (to create that vision) would be predicated. This vision was completed by the end of September 2001.

g. The financial modelling required first that the two separate university finances were in the same format and that a range of definitions and classifications were agreed (for example, which staff were classified as 'Academic Staff' how the word 'debtor' was to be defined).

h. These agreements led to the creation of the base year (2000-01) figures to a comparable template. These figures were then projected forwards to 2006-07 using a set of explicit assumptions, and using part-year figures for 2001-02.

i. The two sets of figures were added together to produce the 'aggregated plan', a necessary step in the comparison process.

j. The academic vision provided the basis for developing the merged plan. This plan used the same 2000-01 base line and 2001-02 part-year figures. In order to plan for 2002-03 onwards, however, a different set of assumptions was used, compared to those used in the 'aggregated plan'. For the purposes of later comparison, it was necessary to assume some of the same factors as the 'aggregated plan' (for example, pay inflation), but the vision of the new university, and several other factors (such as the possible economies of scale) led to a 'merged plan' that was quite different to the 'aggregated plan'.

k. The merged plan was subjected to a sensitivity analysis which created reasonable 'worst case' and 'best case' scenarios, without assuming that all factors would be maximally adverse or maximally advantageous simultaneously.

l. The final three merged plans (base, worst and best) were subject to risk analysis.

m. Detailed comparisons of the 'merged' and 'aggregated' plans contributed significantly to decisions about whether to merge, and to the capacity of the two universities to present a case to HEFCE for funding to support the merger.

n. Throughout the processes, HEFCE was kept informed of progress and invited to comment on various drafts. Similarly, the 'Joint Committee' (a specially created Board for the interim new university) and the separate Boards of Governors were kept informed and had the formal responsibility of proposing changes and approving the final documents.

Project outcomes

Versions of the documents and appendices were received by HEFCE officers up to early February 2002. Following comments received, final versions of the academic vision, the business plan and the risk analysis were re-submitted to HEFCE, and considered by the HEFCE Board in late February 2002, as part of a proposal to merge. As a consequence of this process, the two universities (UNL and LGU) were jointly awarded funding, on a 'matched funding' basis, to support an agreed process of merger.

The business plan was subsequently modified in a small number of details, prior to formal acceptance by the two separate University Boards of Governors, and by the Joint Committee, throughout the period up to merger. The merger itself took place formally on 1 August 2002 to create London Metropolitan University. To date (February 2003), the business plan forecasts have proved fairly robust.

Project code: RCLO32

Academic realignment

Start date	February 2000
Expected completion	October 2000
Duration	Eight months
Cost	Total project cost: £150,752 HEFCE grant: £150,753
R&CF criterion	Structural realignments within and between institutions
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Aims and objectives

a. To transfer the former Thames Valley University (TVU) department of English language education to King's College London.

b. The R&CF grant was to provide full capital funding to enable the refurbishment and relocation of the former TVU staff alongside existing King's staff with complementary teaching and research interests under a unified management structure.

c. The project therefore comprised relocation of existing activities to enable co-location of academic staff, refurbishment of the space vacated and initial office set up costs.

Programme of works

The work was undertaken in three distinct phases:

- the relocation of the marketing arm of KCL Enterprises from the Waterloo Bridge Wing to Capital House, Guy's Campus during the first half of 2000 – cost £80,694
- the closure of the Medical Centre in the Waterloo Bridge Wing in June 2000 with staff temporarily relocated to the Strand Campus, and their subsequent permanent relocation to the Franklin Wilkins Building in October 2000 – cost £37,069
- the occupation by the former TVU staff of the Waterloo Bridge Wing space vacated above in August 2000. The rooms didn't require much alteration or redecoration although the staff transferring from TVU required new furniture and computer equipment – cost £32,989.

Project outcomes

- the former TVU department is now fully integrated within King's both physically and academically, with all teaching and research programmes embedded within King's systems and processes providing complementary research activities which broaden and strengthen the college's education research base
- this has enabled some rationalisation of existing programmes and the opportunity to expand postgraduate research numbers and increase external research income consistent with the college's strategic plan. In this respect in the 2001 RAE the department of education was rated 5 with 92 per cent of staff submitted
- the physical merger and co-location has also provided some economies of scale and efficiency of operations by utilising existing learning resources such as library and IT provision, seminar rooms and other centrally timetabled facilities.

Project code: RCLO33

Collaborative arrangements between Bristol Old Vic Theatre School and the Conservatoire for Dance and Drama

Start date	November 2002
Expected completion	September 2003
Duration	10 months
Cost	Total project cost: £1,100,000 HEFCE grant: £536,000
R&CF criterion	Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector
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Aims and objectives

- to further develop models of confederate working between small specialist providers as exemplified by the Conservatoire for Dance & Drama (CDD)
- to explore ways of joint working between the CDD and Bristol Old Vic Theatre School (BOVTS)
- to fund additional places at BOVTS through CDD as a means of trialling affiliate status and expanding the confederate model of CDD to broaden geographic scope
- to work collaboratively on an additional student numbers (ASN) bid to secure recurrent funding in the longer term and move to full affiliate status.

Programme of work

The Conservatoire for Dance & Drama was founded in August 2001, bringing together London Contemporary Dance School and the Royal Academy of Dramatic Arts as affiliate members of a newly created higher education institution. This model of confederate working allowed small specialist providers to share the administrative and accountability overhead of public funding, while exploring creative synergies between its members and widening access to high quality dance and drama provision.

The affiliate members had to demonstrate exceptional quality in their learning and teaching environment, and show that they produced students of world-class calibre to lead and develop the sector.

The principles underpinning the establishment of the CDD maintain that growth can only be by extending the number of affiliates, and preferably by extending the geographic spread. Bristol Old Vic Theatre School fulfilled the criteria for membership, and this funding has been used to create a transitional relationship between the CDD and BOVTS, ensuring systems were in place to apply for additional student numbers, and if successful, to move to full affiliate status in 2003.

Project outcomes

- successful ASN bid to secure the long term funding for BOVTS as an affiliate member of CDD
- successful integration of BOVTS into the structure of CDD, including membership of the senior management team, integration of data collection and Board agreement
- establishment of student support arrangements to ensure students are able to access the relevant funding ahead of full affiliate status.

Project code: RCLO34

Development of collaborative arrangements with Laban

Start date	31 October 2002
Expected completion	1 October 2003
Duration	11 months
Cost	HEFCE grant: £850,000
R&CF criteria	• Major constitutional change, particularly merger • Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector
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Aims and objectives

To develop a model for future collaboration between the two institutions such that, while retaining their distinctive identities, the two institutions are established as a joint centre of excellence.

During 2002-03 Trinity College of Music (TCM) and Laban began exploring ways to establish a framework and infrastructure to develop on a joint basis. Trinity submitted an ASN bid to embrace the Laban students for 2003-04 and this was accepted.

Programme of work

The work is being undertaken by a joint working group of senior staff from both institutions which reports to a joint committee comprising equal representation from the boards of governors of the two institutions.

The joint working group has had about 10 meetings since the commencement of the autumn term and the joint committee have met twice, most recently to consider the proposed models for future collaboration produced by the joint working group.

Having regard to the contrasting of views expressed and the concerns regarding the safeguarding of independence, on the one hand, and the avoidance of construction of a too complicated bureaucracy on the other, the two proposed models developed have been referred to an external consultant, Jim Port of JM Consulting, to undertake an independent and objective analysis, in particular, having regard to best practice as defined by HEFCE.

A franchise type arrangement is likely to be adopted to deal with the Laban students under the ASN bid. During 2003-04 it is hoped that the necessary institutional restructuring will be implemented so that the new (and yet to be confirmed) form of institutional arrangement embracing both TCM and Laban is in place for the commencement of the 2004-05 academic year.

Project outcomes

The ASN bid in respect of Laban for 2003-04 was accepted and funding for 2003-04 was confirmed in HEFCE 2003/10.

Initial position papers were submitted to an independent consultant for review and the recommendations forthcoming from this were considered by both boards of governors in July 2003. The bulk of the £850,000 is being used to fund a certain number of Laban students. The remainder is being used against internal costs incurred by TCM in connection with the Laban students, staff time spent on the project, and external advisors' fees.

North-East

Project code: RCNE01

Higher Education Regional Consortium

Start date	February 2000
Expected completion	February 2003
Duration	Three years
Cost	Total project cost: £92,114 HEFCE grant: £150,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

Universities for the North East (unis4ne) was launched in March 1999 to replace the existing association HESIN (Higher Education Support for Industry in the North) which had been undertaking collaborative consortium activities and projects since 1983.

This re-branding was undertaken for three reasons:

- the original title no longer described the broader remit of consortium activities
- we refreshed the constitution of the association principally through the formation of a Board comprising the vice-chancellors of the partner institutions
- the new association was launched at the same time as the RDA and now incorporates a strategic role in addition to the existing role as a vehicle for the delivery of joint projects.

The objective of the R&CF project was to support the migration of existing activities from the old to the new organisation and the inauguration of new initiatives not previously undertaken jointly. Collaborative widening participation activities are a primary example of the latter. An Administrator has been appointed to service both the existing and new committees, which are responsible for the delivery of the joint programme of activities.

Programme of work

Unis4ne operates via a three-tiered committee structure as follows:

- strategy and policy – Board and Executive committees
- thematic issues – Standing committees
- project delivery – project management committees.

All partner institutions are represented on these committees which are supported by the unis4ne Secretariat. There are currently a total of 18 unis4ne committees, of which the following thematic groups are supported by the HEFCE, funded Administrator:

- business and enterprise
- European
- sports
- culture
- P4P strategy and working groups
- lifelong learning.

In addition the following project management groups are supported:

- CuPiD – CPD for HE outreach staff
- the Sage Gateshead – Music Centre Project Steering Group
- widening participation management and steering groups.

Project outcomes

In addition to ongoing general administrative support for the Secretariat, the outcomes accruing from support for the above groups are summarised below:

Business and Enterprise Committee – the main activities of this group are in knowledge transfer and exploitation issues. The committee provides steering and guidance to our Knowledge House project and was heavily involved with the regional Science Enterprise Challenge proposal, the establishment of a seed capital fund for exploitation of spin out opportunities from our member universities, in the development of the Regional Innovation Action Plan, and subsequently the implementation of the RDA's science and technology platform 'Strategy for Success'.

The committee provides a vehicle for collaborative action under the HEIF and HEROBC funded activities and provides management and steering for these HEFCE funded projects and European Regional Development Fund funded regional collaborative projects.

European Committee – this committee provided the bulk of the HE input to the development of the EU Structural Funding Programme and was heavily involved with the development of the 2000-06 NE Objective 2 Single Programming Document for the Region. This committee, with both internal and external partners, is also active in the management of this programme which is now being implemented. Other activities include the provision of a collaborative mechanism for actions under Objective 3 ESF programme and EU Framework programmes. Successful outcomes have included integrated (i.e. non-competitive) institutional bidding into the Structural Funding Programme and the implementation of two collaborative ESF programmes (widening participation and work based learning).

Sports Committee – our Directors/Heads of Sport have been meeting on a regular basis for some time; however latterly this arrangement has been embraced within unis4ne and is now supported by the Secretariat. This committee is active at both the regional and national levels and includes a Sport England representative. The activities include elite athletes, performance sport, regional sports events and liaison with national and regional agencies and initiatives.

Culture Committee – the importance of cultural activities in the broadest sense as both a leisure and an economic activity has burgeoned in recent years and accordingly we have established a standing committee to facilitate collaborative activity. Areas covered are wide ranging and include the arts, tourism, heritage and leisure. This group has supported and assisted Culture North East with the development of the Regional Cultural Strategy, supported the Newcastle/Gateshead Capital of Culture 2008 bid, produced a cultural skills training audit with the Northern Cultural Skills Partnership and is actively engaged with the RDA to ensure that cultural issues are embraced fully by the revised regional Economic Strategy as a cross-cutting issue.

P4P Strategy and Working Groups – unis4ne was identified by HEFCE as the facilitating agency for the P4P initiative business planning process, and accordingly the Secretariat supports two groupings embracing the broad partnership interests. Partners include HE, LSC, FE, schools, Connexions, Government Office, RDA, the North East Regional Assembly and business (Northern Business Forum). The Secretariat will continue to support the expanded and enhanced partnership being developed under the P4P initiative.

Lifelong Learning Committee – this committee engages with actions and projects which support the broad principles of lifelong learning through inter-institutional collaboration. Recent projects have included the development and validation of Lifelong Learning Awards at all partner sites and their subsequent deployment in two projects for businesses involving skills updating and more specifically human resource development training. Work is ongoing on the development of a regional credit framework and institutional relationships with Ufl.

Widening Participation Management and Steering Groups – In addition to supporting the meetings of these two groups, the Secretariat supports the day to day activities of the three members of widening participation project staff operating from the unis4ne office. Our HEFCE widening participation special initiative funded activities take both institutional and regional forms. The latter, undertaken by staff at the Secretariat office, involves both research and best practice studies and the collation of monitoring returns for HEFCE. Several research reports, best practice guides and briefing notes have been produced and have been distributed nationally – these can be viewed on our web-site: www.unis4ne.ac.uk/projects/wpreports.htm

The final activities with which these groups are involved is the closure and evaluation of the regional project. For the latter purpose we have entered into reciprocal arrangements with the south-west region for external evaluation.

CuPiD – CPD for HE outreach staff – this regional project supported by the HEFCE Fund for the Development of Good Management Practice (FDGMP) receives both administrative and professional support from the Secretariat. Given the large increase in the number of HE staff involved in outreach activities, supported by the HEIF, HERO and regional initiatives, we are developing a flexible CPD programme based broadly on the AURIL competencies framework. An accredited postgraduate certificate is being established based upon our Lifelong Learning Awards. We are liaising with the Fulcrum project in the south-west regarding their complementary programme.

Music Centre Project Steering Group – also supported by the HEFCE R&CF is our Music Centre project in partnership with The Sage Gateshead. The Secretariat provides administrative support for the project steering group. The HE development officer for the initiative is facilitating joint HE/Sage projects with each of our partner universities (for example the Folk Music Degree at Newcastle) and joint activities such as the proposed student performance festival.

Project code: RCNE02

Redevelopment of the university's academic portfolio

Start date	1 August 1999
Expected completion	31 July 2002
Duration	36 months
Cost	HEFCE grant: £1,050,000
R&CF criteria	• Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

The aims and objectives of this project are to:

- accelerate the redirection of resources from declining to emerging areas of academic activity
- develop the university's academic portfolio in a way that will strengthen both its academic and financial position
- facilitate the development of a range of inter-disciplinary programmes in each of the following: media (spanning media technology, digital arts, virtual reality, media production, cultural studies and journalism); leisure, tourism and heritage; health sciences and bio-mechanics
- develop the university's cost-benefit analysis methodology which underpins its resource allocation methodology, to ensure that resources are effectively deployed to support its changing activities.

Programme of work

The monies made available have continued to fund 11 posts in some of the targeted areas of growth within the university. The staff appointed to these posts have continued to be involved in the development of a new range of academic programmes which have become, along with others, the drivers of the university's Academic Development Strategy.

The work of the university in developing a cost-benefit analysis to inform academic re-profiling has underpinned the university's contribution to the Transparency Review exercise and the data arising from the annual cost-benefit analysis continues to be used as the driver for identification of areas for investment and rationalisation.

The major exercise in 2001 and 2002 – in which the university engaged consultants to assess the efficiency and effectiveness of central support units – has continued. Over the last year the process of acting upon the major recommendations has been concluded and the university is confident that the exercise has been highly valuable. The university remains confident that the further development of the academic profile will continue to allow the most effective allocation of resources to support that profile.

Project outcomes

As stated above the funds provided have been used to support 11 'new blood' academic staff appointments in areas of planned growth, namely:

- media – five posts
- leisure, tourism and heritage – two posts
- health sciences – two posts
- bio-mechanics – two posts.

The programmes developed as a result of these posts have made available contribution to the ongoing growth of the university. Overall, fulltime recruitment to the university between 2000-01 and 2001-02 showed an increase of some 2 per cent and further growth of about 300 full-time students has been achieved this year, predominantly in these 'new blood' areas.

The additional posts in health sciences facilitated the establishment of a BSc Health Sciences and a range of new modules including Substance Misuse and Introduction to Mental Health. This course made a particular contribution to widening participation, closely linked to local and regional health practitioners, and has now evolved into a degree in Public Health.

The leisure, tourism and heritage posts has led to the successful establishment of sub degree and degree programmes in leisure and tourism management and a degree in leisure studies. First year student numbers have grown from 23 in 1998-99 to 131 in 2001-02, with the tourism management degree producing graduates for the first time in summer 2003. The posts have also led to enhanced links with business and with schools and colleges and international links are also being developed.

The posts in bio-mechanics have supported extensive developments in relation to a sports science portfolio of sub degree undergraduate and postgraduate programmes – contributing to sport becoming one of the major areas of growth within the university and increasing first year enrolments from 291 to 457 between 1998-99 and 2001-02. Provision is shortly to be augmented by the new £6 million 'Olympia' Centre for Sport Building.

The media posts have enabled a major review, and extension, of the university's media portfolio including a new suite of programmes in media production (radio production, TV production, new media production) and expansion of provision in media studies resulting in the number of new students in media rising from 68 in 1998-99 to 316 in 2001-02.

As both first year and all-year student numbers have continued to grow across all of the targeted areas, and resources have been redirected from areas of contracting provision, the university has been able to invest in the appointment of additional staff, and is moving to a position where each of these areas of activity is, or will soon become, self sustaining.

Project code: RCNE03

Support and deliver a flexible learning strategy

Start date	September 1999
Expected completion	December 2002
Duration	Three years and three months
Cost	Total project cost: £3,268,000 HEFCE grant: £1,634,000
R&CF criteria	• Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Structural realignments within institutions
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Aims and objectives

The project is intended to enable the university to take a strategic view on how it should be organised to operate in an environment where flexible learning is the norm.

To this end the project will:

- identify the operational and organisational systems necessary for such an approach
- review current systems and redefine them to improve operational efficiency
- specify a system environment necessary for the operation of such an approach
- identify the staff development necessary for its implementation.

Programme of work

The project will be phased as follows:

a. Review and collate best practice in the UK and beyond for information and administrative systems and managed learning environments used in higher education.

b. Evaluate available software for administration systems and learning environments.

c. Undertake a review and evaluation of the current operational systems in the university and identify opportunities for reform.

d. Specify systems for administration, learning and management of information for the benefit of learners.

e. Identify and implement associated staff training and development needs.

f. Implement the new systems.

Project outcomes

- improved organisation of the university and learning and career opportunities for its students
- the introduction of a new student administration and managed learning system compatible with existing university business systems.

Progress

a. Specification, selection and implementation of new Virtual Learning Environment/Managed Learning Environment /Student Administration System.

b. Extensive institutional business process review exercise.

c. Integration of main institutional business systems.

d. Design and commissioning of extensive evaluation exercise relating to operational efficiency.

e. Identification, design and delivery of institutional staff training and development programme.

f. Development of new internal educational delivery opportunities.

g. Creation of new external marketing opportunities.

h. Identification of partnership opportunities both educational and commercial.

i. Realignment of internal IT system ownership and management.

j. Identification, specification and testing of enhanced opportunities for student interfaces (for example, self enrolment, and access to assessment and progression records).

k. Generation of qualitative and quantitative data to inform institutional restructuring processes.

Project code: RCNE04

Development of learning resource centre at Carlisle

Start date	30 April 2001
Expected completion	7 February 2002
Duration	10 months
Cost	Total project cost: £2.94 million HEFCE grant: £1.35 million
R&CF criterion	Collaborative arrangements between higher education institutions

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Aims and objectives

The aim of the project is to provide a purpose built Learning Resources Centre in Carlisle to supplement and enhance existing facilities to provide further higher education opportunities for potential students. This aim is in line with HEFCE's commitment to support additional funded student numbers in Cumbria in the context of collaboration between the region's higher education providers.

The main objectives of the project are to:

- facilitate increases in student numbers
- provide additional quality library, IT and lecture theatre facilities
- provide Library access to students of other post-school education providers in Carlisle in appropriate subject areas to develop the agenda of collaboration, namely:
  - St Martins College, Lancaster
  - University of Central Lancaster
  - Cumbria College of Art and Design.

Programme of work

27 April 2001	Completion of purchase of development site
30 April 2001	Commencement of Learning Resource Centre construction works
7 February 2002	Completion of construction works
11 February - 15 March 2002	University Fit-out and commissioning
25 March - 5 April 2002	Relocation from existing facilities to new development
8 April 2002	Learning Resources Centre opened for use
July - August 2002	Refurbishment of decanted accommodation to provide enhanced teaching and conference facilities at main campus site.

Project outcomes

The project has delivered the following outcomes:

- 1,043 m^2 of additional space providing:
  1. A library facility with 110 reader spaces.
  2. Open access IT facilities with 110 user spaces.

   iii. A 120 person lecture theatre with associated break out and seminar accommodation.
   iv. Quiet study facilities.

- refurbishment, change of use and increased utilisation of decanted ex library and limited IT facilities
- removal of the requirement to lease lecture theatre space
- establishment of effective protocols and arrangements for the collaborative use of, and shared access to, resources by students both at their place of study and their most local institution
- the potential to attract additional student numbers to Cumbria and Carlisle by the provision and establishment of quality library and open access IT facilities.

Project code: RCNE05

Development of links between the universities in the North East and the new Sage Gateshead (formerly Gateshead Music Centre)

Start date	April 2001
Expected completion	March 2004
Duration	Three years
Cost	Total project cost: £612,762 HEFCE grant: £306,381
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The project's principal aim is to develop musical activities in and across the six members of universities for the North East in partnership with The Sage Gateshead, the new music centre managed by the North Music Trust which is creating region-wide programmes from its base in Gateshead. These activities are crucially reinforcing the region's cultural strategy and the development of the music industry within it.

The project's primary objectives are:

a. To provide the academic and educational underpinning for the development of a world class centre for music with strong international links in research, composition and performance.

b. Through high level practical tuition, to raise the standards of performance, to offer opportunities for experimental, creative and compositional projects, and to broaden the experience of students engaged in musical activities at undergraduate and postgraduate levels.

c. To facilitate the development of new programmes, short courses, masterclasses and community-based provision jointly between The Sage Gateshead and each of the universities, thus broadening substantially the range of music and types of academic study available in the North East.

d. To facilitate and improve joint planning between the universities in the future development of their music activities, particularly in relation to social and cultural commitments in the region.

The project is managed by a steering group comprising representatives from the six individual universities, Universities for the North East, and The Sage Gateshead, which has among its terms of reference:

- to explore opportunities for the regional universities to collaborate individually and collectively with The Sage Gateshead/North Music Trust
- provide a forum for the exchange of information and ideas on fruitful areas of development in partnership with The Sage Gateshead/NMT
- to identify and facilitate specific areas of collaboration relating to research, curriculum development and outreach into the community
- to support the HE development officer and other posts funded through Universities for the North East
- to facilitate networking between staff in HE and FE throughout the region.

Programme of work

The project has supported two temporary posts based in The Sage Gateshead during its start-up phase. The first full-time post is that of HE development officer, a senior member of The Sage's management team, to lead the development of partnerships for collaboration with the universities. The second part-time post has been a key appointment to establish and develop the BMus in Folk and Traditional Music, a unique new degree taught jointly between Newcastle University and Folkworks, the country's leading folk music organisation based at The Sage. The remaining part-time post equivalent has been largely kept in reserve to support major developments during the second half of the project, such as the Student Performance Festival for which we are about to appoint an administrator.

Project outcomes

Among the many outcomes so far achieved by the project are:

a. The successful establishment of the BA in Folk and Traditional Music, the only such degree programme in this country mixing high level performance skills with a strong academic underpinning, emphasising the relationship between folk music and other types of music including western classical and popular music.

b. Enhancing the relationship between the Northern Sinfonia (the region's top chamber orchestra based at the Sage) and the universities, in particular developing workshops for student composers in Newcastle and Durham.

c. Establishing a regional research group to develop joint research projects, including a successful CASE studentship jointly with Social Policy at the University of Newcastle upon Tyne.

d. Developing programmes in Music Education with the department of Education at the University of Durham.

e. Submitting a collaborative Erasmus application for student singers with an institute in Helsinki and Berlin.

f. Developing a foundation degree on community music and arts administration with the University of Sunderland.

g. Developing an annual Student Performance Festival, to start in June 2003 as a one-day event but to develop in subsequent years into a major festival lasting several days, with an emphasis on creating new work.

h. Facilitating workshops in different areas of performance with leading artists such as Sir Roger Norrington and Thomas Zehetmair.

Project code: RCNE06

Re-profiling of academic portfolio and rationalisation of estate

Start date	January 2002
Expected completion	December 2003
Duration	Two years
Cost	Total project cost: more than £9 million HEFCE grant: £4.35 million
R&CF criteria	• Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Structural realignments within institutions
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Aims and objectives

- to meet student recruitment targets for 2001 and 2002 as contained in the recovery plan
- to address widening participation in relation to re-profiling the university and the development of new and growing academic areas.

- to focus support for widening participation through direct working of university staff in regional schools and colleges by:
  a. Strengthening the university's links with schools and colleges so as to encourage access and widening participation.
  b. Deepen and extend the knowledge and understanding of the school and FE sectors among the staff of the university.
  c. Equip a number of staff of the university with the skills and qualifications which would enable them to work across the HE, FE and school sectors.
  d. Helping to address shortage subject teaching needs in schools and colleges in the key areas of mathematics, sciences and modern foreign languages.

Programme of work

a. Development of St Peters Campus £3.75 million as a contribution to the further development of the St Peters campus.

b. Staffing start-up areas £350,000 over two years to support staffing start up costs in areas identified for growth. There is funding for five key posts in the following subject clusters:

   - sport (including coaching, sport and exercise development)
   - health and social care
   - creative and cultural (including performing art studies)
   - media
   - tourism and leisure.

   These subject clusters are known from local market research to have an intrinsic capability to be exploited in terms of widening participation.

   The responsibility of these key people will be to drive forward the development of our strong areas to ensure that quality and access are fully addressed. They would lead staff to develop an employability and enterprise theme, and work with feeder institutions to strengthen partnerships around access and foundation degrees. They will also extend and develop links with employers to ensure that the 'promise' to students in relation to meeting their vocational needs is fully delivered.

c. Staff retraining programme (Progression Fellows Opportunities) £250,000 to support the development and implementation of a pilot staff retraining programme focusing on support for widening participation through direct working of university staff in regional schools and colleges:

   - April to August 2002: Planning phase:
     - selection of partner institutions
     - selection of university staff participants
     - design of qualification and placement scheme
   - September 2002 to March 2003: Initial cohort

    - up to three staff commence training and school or college placement
- March 2003 to December 2003: Second cohort
    - up to three staff commence training and school or college placement
    - initial cohort will undertake teaching and widening participation activities with partner school and colleges.

Project outcomes

Development of St Peters Campus

Work has commenced on the St Peters Campus Phase III development.

The development will enable other elements of the estate strategy to be implemented for 2003-04 academic year including:

- relocation of the School of Education and Lifelong Learning
- accommodation for the Centre of Excellence in Digital Media.

Staffing start-up areas

Five posts have been advertised, two professorial level and to date three appointments have been made.

Staff retraining programme (Progression Fellows Opportunities)

University staff have been invited to apply for up to six places on the progression fellowship scheme. One person has taken up the post with a further three to take up posts shortly, the remainder to take up posts by March 2003. Discussions have been held with the Teacher Training Agency and the Further Education National Training Organisation to ensure that fellows can be given the opportunity to secure QTS and FE teaching qualifications.

Project code: RCNE08

Support for the university in developing its recovery plan

Start date	April 2002
Expected completion	July 2002
Duration	Four months
Cost	HEFCE grant: £1,417,411
R&CF criterion	Structural realignments within institutions
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Aims and objectives

To support the delivery of the recovery plan.

Programme of work

- improving/conserving liquidity
- reducing the cost base
- re-profiling academic activity and rationalising the estate.

Project outcomes

Improving liquidity

- cash injection: The university's borrowings were successfully re-structured in July 2001
- cash conversion: Internal financing of capital programme was restricted
- improve liquidity: The elements of the phased disposal programme included in financial forecasts to 2005-06 were achieved in 2000-01, as planned.

Reducing cost base

- cash reductions (non-staffing): The mid-year review in 2001-02 (December 2001) produced savings as planned
- overhead contribution: The contribution from research grants and contracts rose
- academic re-profiling: Significant reductions were made to staff numbers and appointments made in new growth areas
- optimising income: The university's commercial company (USE Limited) is moving into clear profit by excising unprofitable activity and improved commercial performance
- limit non-core: A hall of residence has been closed to save costs. A revised management arrangement on letting has been introduced and a revised policy regarding head tenancy supply has been implemented. The resource centres at St Peters have been rationalised.

Re-profiling of academic activity

- new business focus: implemented in accordance with the quality and distinctiveness strategy
- downsize estate: a significant reduction is being pursued as part of the corporate plan for 2002-03 to 2004-05.

North-West

Project code: RCNW02

Academic realignment

Start date	May 1998
Expected completion	2001-02
Duration	Four years of HEFCE funding; the project then continues on a self-financing basis
Cost	HEFCE grant: £1.856 million
R&CF criterion	Structural realignments within institutions
Contact	Colin Adams, Planning Office University House University of Lancaster Bailrigg LANCASTER LA1 4YW
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Aims and objectives

The aims of Lancaster's restructuring project are:

- to redirect resources from areas of limited growth and development potential to proven interdisciplinary teaching and research strengths of international quality
- to broaden and expand science provision, and make it more accessible, through new cross-disciplinary teaching programmes involving science, social science and management disciplines, all of which are at the leading edge of current research
- to develop teaching and research related to the social, management and cultural challenges posed by the application of rapidly changing technologies
- to develop teaching and research which identifies closely with the attributes and needs of the region, and to increase the range of regional partners and collaborators in teaching and research which benefits the region
- to facilitate organisational and other economies, from shared use by departments of physical and human resources.

Programme of work

In the first year of the project, research and teaching laboratories were modified and re-equipped. Staff appointments were phased over the four-year period. Senior appointments made in the first year were involved in the planning, design and development of new modules for multi-disciplinary undergraduate and postgraduate schemes, and for continuing professional development courses.

Project outcomes

Inefficient science space has been converted to hydrology research, clean rooms, biochemistry teaching laboratories and two multi-media teaching laboratories.

The revised organisational structure, which replaced three science faculties with two broader-ranging ones, was initiated in advance of the project. The new faculties have been involved in developing new modular programmes involving science departments and departments in the management school and in social sciences.

The first phase of expansion of the science base was achieved by redistributing undergraduate numbers from other areas into new inter-disciplinary schemes in combined science and technology, internet technology, multi-media systems, and business information systems. Additional science student numbers were secured through the HEFCE additional student numbers exercise.

The second phase of expansion included:

- an innovatory postgraduate programme in environment and development (research masters degree), with a period of placement in one of more than 14 overseas research institutes
- an MA in environment, culture and society, designed for workers in a range of areas affected by environmental issues
- an MSc in plant stress biology
- a range of professional development short courses in geographic information systems, remote sensing and phenotypic analysis.

Modularisation of the postgraduate programmes in the restructured departments has enabled the marketing of 'Plant Sciences for Industry', a collection of short courses which can be taken in isolation or as an MSc.

Collaborative research has been stimulated in the environment sub-project involving the Departments of Environmental Sciences, Biological Sciences, Geography, the Centre for the Study of Environmental Change, and the two regional research institutes of the Natural Environment Research Council based in Cumbria. In March 2000, agreement was reached between the university and NERC to relocate the Centre for Ecology and Hydrology Merlewood (Terrestrial Ecosystems) to the Lancaster campus with joint development of their research facilities in the Lancaster Environment Centre. In 2001, a second agreement was reached with NERC to relocate the Centre for Ecology and Hydrology Ambleside (Freshwater Ecosystems) also to Lancaster. The next phase of the project is expected to bring the Department of Geography into physical co-location.

In the communications sub-project a new Department for Communications Systems was established, and two interdisciplinary research centres based on computing sciences were funded by the Engineering and Physical Sciences Research Council. Funding was agreed in 2003 for a new project involving the departments of Computing and Communications Systems and with support from the North West Development Agency for a research and development centre to be known as Infolab. Work will commence in March 2003 and occupation will be in late 2004.

Project code: RCNW03

Restructuring and realignment of the university's medical school

Start date	August 1998
Expected completion	July 2001
Duration	Three years
Cost	Total project cost: £3.86 million HEFCE grant: £1 million
R&CF criterion	Structural realignments within institutions
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Aims and objectives

The project centred on the restructuring and realignment of the university's medical school. This involved changes to the staff profile, including appointments of senior staff to underpin a number of inter-related academic developments.

The key objectives of the project were:

- to improve academic leadership and increase managerial and organisational efficiency and effectiveness
- to improve research performance while maintaining teaching quality and NHS clinical provision.

Programme of work

Senior staff were appointed to posts in areas identified as major strategic development priorities, focusing on areas of research strengths and of nascent growth. The support provided by HEFCE was vital to begin this important restructuring, and contributed substantially to the achievement of a number of the medical school's academic objectives and to the stimulation of further development.

As part of the restructuring programme, areas were identified for disinvestment by a large scale research review which followed the 1996 Research Assessment Exercise. Twenty-one early retirements were agreed which enabled the medical school to reduce staff numbers in these areas.

The medical school adopted a deliberate policy of reducing the number of its clinical lecturers because many were not performing academic duties but rather were acting as specialist registrars. As a result, the clinical lecturer grade numbers have been reduced by 75 per cent and now only those performing an academic function and fixed on an academic route have been retained. Posts that were mainly service- or training-oriented have been taken over by

NHS funds. The HEFCE support received was essential in bridging the gap between academic and service needs.

Restructuring also involved the 're-badging' of staff. University employees with mainly clinical workloads have been appointed to NHS contracts, and NHS employees with more substantial research and teaching commitments have been appointed to university contracts.

The restructuring of pathological sciences has significantly reduced staff numbers and has resulted in a smaller, more research focused department with less commitment to clinical service. Previously, the department had particularly heavy service commitments and there was a need to free up time for research and teaching.

Project outcomes

The whole of the academic, managerial and administrative structures of the medical school have been reorganised and refocused, significantly reducing expenditure in areas identified as having insufficient research strength and strengthening areas which were already recognisably strong. Substantial progress has been made in regard to both teaching and research and in terms of our relationship with NHS partner trusts. In the submission to RAE 2001, one-third of the total staff returned were not in post at RAE 1996 and there was a significant improvement in the research performance of the medical school.

Project code: RCNW04

Higher Education Regional Consortium

Start date	1 September 1999
Completion	31 July 2002
Duration	Three years
Cost	HEFCE grant: £150,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

HEFCE funding was awarded to support the establishment of Higher Education North West (HENW). The aim of HENW was to develop formal collaborative links between the non-university HEIs in the North West of England in order to:

- support members in their individual and collective relationships with regional and national agencies
- recommend representatives of North West HEIs for appointment to regional bodies

- share experience and provide a forum for the discussion of issues common to North West HEIs
- undertake other regional activities that are judged desirable by members
- to stimulate and maintain co-operation with other agencies, particularly the Association of Colleges.

Programme of work

An office was established in Warrington, with the costs of the premises and services, consumables and some staff costs shared with the North West Universities Association (NWUA). On 1 January 2003 HENW combined with NWUA to form a single higher education body in the North West, retaining the NWUA title.

A simple organisational structure was established. A Board composed of the principals of the member institutions met four times a year. Ad-hoc working groups, several of which were joint HENW/NWUA activities supported the work of the association.

HENW institutions had representation on the following HE sector groups dealing with learning and teaching strategy, health, culture, European programmes, the Active Community Fund, international activity and HEROBC.

Effective links with other regional bodies including the RDA, the local LSCs and Government Office North West were established, and HENW/NWUA was consulted on a range of regional issues. HENW and NWUA co-ordinated the HE input to the EU Objective 2 and 3 programmes.

Good working relations with NWUA were established, with the executive directors sharing most of the representational and lobbying function for the sector as a whole.

Project outcomes

Until merger with NWUA, HENW played a significant role in the region. Specific outcomes included:

- two promotional brochures (in conjunction with NWUA) Reaching out to the region (widening participation) and Higher Education and Health
- regular meetings with NWDA, Government Office North West, and regional LSC directors
- participation in the North West Regional Assembly committee structure
- involvement in the regional skills strategy, regional innovation strategy, regional planning guidance, the Rural Recovery Plan, the regional ICT strategy, the regional e-learning strategy and the regional economic strategy review
- membership of the Regional Learning and Skills Forum
- membership of the European Objective 2/3 Programme Advisory Group and Programme Monitoring Committee
- HE action plans for the regional strategy and regional skills strategy.

Project code: RCNW05

Higher Education Regional Consortium

Start date	1 August 1999
Completion	31 July 2002
Duration	Three years
Cost	HEFCE grant: £75,000
R&CF criterion	Collaborative arrangements between higher education institutions
Contact	Keith Burnley, Executive Director North West Universities Association East Annexe, Town Hall WARRINGTON WA1 1UH
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Aims and objectives

HEFCE funding was awarded to support the establishment of the North West Universities Association (NWUA). The aims and objectives of NWUA are:

- to share experience and provide a forum for the discussion of issues common to its members
- to promote regional collaboration between members
- to support and inform the participation of members in regional agencies
- to recommend representatives for appointment to regional bodies
- to represent the region in Universities UK regional groups and similar bodies
- to develop regional collaboration with SCOP institutions and colleges belonging to the Association of Colleges
- to undertake other regional activities that are judged desirable by members.

Programme of work

NWUA has established an office base in Warrington with a small secretariat. The organisational structure has been established consisting of:

a. NWUA board, comprising the vice-chancellors/principals of member institutions, meets five times a year and deals with matters of strategy and policy.

b. NWUA management team advises the board and is the management body for the association. The management team members act as the main contact between the association and individual institutions.

c. The four main operational groups – the Enterprise Group, the Learning and Teaching Strategy Group, the Widening Participation and Skills Group and the Research and

Development Strategy Group – have been formed to advise the management team and to develop collaborative activity.

d. Sub-groups have been established in health, culture and marketing/public relations.

e. Practitioner networks have been established covering links with business, European programmes, the Active Community Fund and international activity.

NWUA was awarded £550,000 under round one of HEROBC to establish a regional Knowledge and Skills Brokerage Service for SME/HE interaction. A Director of Knowledge Service was appointed in January 2002 to manage the project and its extension (supported by European and NW Development Agency funding) – Knowledge Northwest (KNW).

NWUA has built partnerships with major bodies in the region including the RDA, the Regional Assembly, the regional chambers of commerce, regional SBS and local Business Links, the North West Business Leadership Team, the local LSCs and Government Office North West. The association provides higher education input into the Objective 2 and 3 European programmes.

The association has developed a range of promotional tools and activities to raise the profile and awareness of the significant HEI contribution to the region, including the web-site, brochures, presence at regional events, organising conferences and placing advertising material in the press and media.

On 1 January 2003 NWUA welcomed into membership members of its sister organisation Higher Education North West, which had previously represented the higher education colleges in the region, to form a single higher education association in the region.

Project outcomes

The NWUA, now fully established and operational, plays a leading role in the region. Specific outcomes include:

- the formal launch of the association at Manchester Airport in March 2000
- promotional brochures; Building on Success (general), Reaching out to the region (widening participation), Higher Education and Health, Aerospace Capabilities in the North West
- regular meetings with NWDA, Government Office North West, NWBLT and regional LSC directors
- a leading role for NWUA within the Economic and Social Partners Group of the Regional Assembly
- the NWUA web-site www.nwua.ac.uk
- responses to the regional science strategy, regional skills strategy, regional innovation strategy, regional planning guidance, the Rural Recovery Plan, the regional ICT strategy, the regional e-learning strategy and the regional economic strategy review
- HE action plans – the regional strategy and regional skills strategy
- a conference on the regional knowledge economy
- an annual report of NWUA activities.

NWUA is now regarded as a natural partner by a range of regional bodies and is regularly involved in and consulted on regional strategies and initiatives.

Project code: RCNW06

Restructuring of science and engineering provision

Start date	August 1999
Expected completion	December 2002
Duration	Three years, five months
Cost	Total project cost: £3.8 million HEFCE grant: £1.875 million
R&CF criterion	Structural realignments within institutions
Contact	Peter McCann, Director of Planning University of Salford SALFORD M5 4WT
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Aims and objectives

The aims of the project are:

- to re-structure and re-position science and engineering at Salford to meet changing demand from students, employers and other customers
- to enhance industrial links in science and engineering
- to strengthen enterprise and entrepreneurial skills in the university
- to widen access to teaching and learning programmes.

Programme of work

The first stage of the project was to restructure the university's science and engineering activities, in the context of a university-wide academic restructuring undertaken in 1998-99 and implemented from 1 August 1999. The work included physical moves and improvements to the estate to support the academic restructuring.

Along with the organisational changes, new academic appointments were made in key areas of science and engineering to accelerate the development of new activities aimed at meeting changing student demand and widening access, and building on the university's existing partnerships with industry.

Project outcomes

The academic restructuring involved moving from eight faculties and 38 departments to four faculties and 17 schools. As part of this, the former science and engineering faculties, and part of the former environment faculty, were combined into one science and engineering faculty. The physical moves and building work in support of the restructuring have been completed.

Since the academic re-structuring and with the new academic appointments, a number of new course developments have been launched. These include undergraduate courses in multimedia and internet technology; aerospace; mechanical engineering; physics with aviation studies; wildlife and practical conservation; aquatic sciences; and foundation degrees in aerospace engineering, internet computing and applied microbiology. Shared teaching has been introduced at Level 1 of undergraduate engineering programmes in order to introduce a range of flexible study options. Postgraduate developments include aerospace manufacturing, aerospace engineering, and enterprise. The new course developments have stabilised student numbers in the difficult recruitment environment affecting science and engineering, and put the faculty in a stronger position for future development.

The Innovation Forum has proved a successful mechanism for enhancing industrial links and strengthening enterprise skills in the faculty, and a faculty company has been set up to put the faculty's enterprise work on a sound business footing. Services to industry range from small scale technical advice to large scale project involvement and assistance to companies. The benefits of this are two-way, in that the company and university gain expertise and operational facilities that foster future long-term links.

Project code: RCNW07

Support for Liverpool Institute of Performing Arts

Start date	1 August 1988
Expected completion	31 July 2003
Duration	Five years
Cost	Total project cost: £2,340,000 HEFCE grant: £2,340,000
R&CF criterion	Structural realignments within institutions
Contact	Mark Featherstone-Witty, Principal & Chief Executive Liverpool Institute for Performing Arts Mount Street LIVERPOOL L1 9HF
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Aims and objectives

The overall aim is to enable the Liverpool Institute for Performing Arts (LIPA) to demonstrate its excellence in teaching contemporary music.

This is supported by specific objectives:

- to ensure the quality of learning meeting industry requirements
- to create an external academic and professional music advisory panel

- to increase practical project-based work and involvement of industrial practitioners
- to devise and implement a graduate monitoring programme to respond better to the contract culture of the industry
- to improve the quality of the applications, admissions and auditions processes
- to develop telematic learning tools
- to enhance financial management and corporate governance
- to increase private sector funding.

Programme of work

A series of project plans was agreed to meet the specific project objectives.

Project outcomes

The agreed outcomes have been completed.

A report by a HEFCE appointed assessor formed the basis of ongoing action to be achieved before a decision could be made about ongoing institutional funding and status. The action required was a set of inter-locking strategies that updated the existing strategic plan. The institute was also required to provide a variety of funding scenarios. Following their delivery, the Quality Assurance Agency is scheduled to assess the institute.

Project code: RCNW08

Diversification and expansion of college portfolio

Start date	September 1999
Expected completion	July 2002
Duration	Three years
Cost	Total project cost: £1,366,000 HEFCE grant: £1,050,000
R&CF criterion	Major changes to academic portfolio
Contact	Professor D Cotterrell Dean of Science & Health Chester College of Higher Education Parkgate Road CHESTER CH1 4BJ
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Aims and objectives

In a strategic review of its widening access and participation activities, Chester College, in partnership with the local business community, identified a lack of business education and training provision for mature local students. The Chester economy has enjoyed rapid growth in the last decade that has resulted in severe shortages of appropriately qualified individuals. In response to these needs, and the willingness of major business partners to offer tangible support, the college will provide both general provision of courses in the broad areas of business and management, from Higher National Diploma to postgraduate academic qualifications, as well as professional qualifications and a centre of expertise to support the areas of financial services and tourism management. This will provide a resource for the sub-region to sustain this exceptional pace of economic development in knowledge-based service industries.

The aims of the development are to:

- provide for the business and management educational and training needs of Cheshire
- support sub-regional, and thereby regional, economic development
- provide opportunities and encouragement for vocationally relevant lifelong learning
- promote access to higher education by offering a ladder of awards and strengthening links with further education.

Programme of work

In order to effect a major repositioning of its course portfolio, the college was given support to resolve the anomaly of a major business centre such as Chester lacking its own HEI-based provision in business and management. The programme entails developing:

- the provision of a range of full- and part-time courses in business and management
- collaboration with FE colleges to provide subject-specific FE-to-HE link programmes
- the extension of the college's work based learning programme into sandwich placements in industry and commerce within the local economy
- specialist programmes and short courses, related to local employers' needs
- applied research and consultancy.

Project outcomes

The college successfully recruited undergraduate business students in September 1999, September 2000, September 2001 and September 2002. Applications from local and national candidates remain buoyant. The undergraduate programmes that commenced in September 1999 have competed their first final year, except the BA in Business Studies where students commenced their final year in September 2002. The final year of the BA in Business Administration includes a significant number of transferees from the college's Higher National Diplomas, representing a significant widening of educational opportunity for the students concerned.

The portfolio of undergraduate programmes continues to expand, with foundation degrees in Business and Management, in Business Information Management and in Public Service Management validated in conjunction with local FE colleges. The part-time, three-stage Certificate/Diploma/Masters in Business Administration recruited successfully again in September 2002, and the Masters level was commenced for the first time, enhancing the college's service to the local business community. An 'in-company' variant of the programme was commenced at diploma level for a neighbouring local authority in September 2002, with a new certificate level cohort of students also being recruited. In addition a new postgraduate Diploma in Management Studies was validated as an 'in-company' programme, within the college's Work-Based and Integrated Studies framework, for the same local authority, and a cohort of students was recruited in November 2002. These closed commercial programmes underline the college's ability to meet the development needs of local managers. In November 2001 the college's business and management courses were successfully reviewed and approved by the QAA.

In the next stage of its development the college plans further growth in the number of students on its undergraduate business, management and tourism programmes, as the initial cohorts of students recruited in September 1999 are replaced by new, larger cohorts. The introduction of foundation degrees, in collaboration with its FE partners, will represent a further expansion its business and management provision and a significant widening of access and participation in HE within the sub-region. The college continues to strengthen its links with the local business community which will lead to further developments in its portfolio of part-programmes in order to meet local needs for continuing professional development and life-long learning, as well as meeting the expanding needs of local industry, commerce and the professions for well-qualified graduates and diplomates.

Project code: RCNW11

The development of seven key strategic programme areas

Start date	September 2001
Expected completion	August 2003
Duration	One year, 11 months
Cost	Total project cost: £3.08 million HEFCE grant: £1 million
R&CF criteria	• Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major changes to academic portfolio
Contact	B W Cain, Director of Human Resources Bolton Institute of Higher Education Deane Road BOLTON BL3 5AB
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Aims and objectives

The primary aim of the project was to provide a financial bridge for the institute in the development of seven key strategic programme areas in order to enable it to recruit academic leaders and key teams of staff pending the growth of income from these areas and the reduction of cost in declining areas. These strategic development areas are:

- health
- e-Learning

- advanced materials and technical textiles
- computing and internet
- fitness industry management
- supply chain management and logistics education.

Programme of work

Year one 2001-02

a. The programme of work in the first year of the project principally involved the recruitment of 29 key posts and the creation of the developmental teams identified in the proposal.

b. As teams were formed new academic development work was initiated.

c. Simultaneously cost centre business plans were created for all academic departments with a view to increasing or decreasing staff costs in line with income levels and producing balanced cost centre budgets.

d. All of this was done in the context of maintaining overall staff costs at the previous year's level.

Year two 2002-03

Further key activities are:

a. The refinement of the three-year business and staffing plans.

b. Submission of approval documentation for the validation of new programmes.

c. The targeting of marketing activity and student recruitment activity in the strategic development areas.

d. The establishment of new research and consultancy partnerships in the strategic development areas.

e. Development of additional work based opportunities.

f. Expansion of e-learning delivery.

Project outcomes

Year one (actual)

- 29 key strategic posts were identified. Of these, 25 have been filled and one is under review
- the percentage of staff costs to income has been reduced, and achievable balanced budget targets have been set for all academic departments
- one key strategic area remains under review and one has not yet contributed any significant developments as a result of late recruitment of key personnel
- in the remaining five key strategic areas 30 substantial initiatives have taken place including among others:
    i. Development of new diploma, degree and CPD programmes independently and in partnership with other institutions and initiation of discussion on further collaborations.
    ii. Re-orientation of existing programmes.

iii. Agreement of new external research contracts.

iv. Involvement in and leadership of sector networks and collaborative developmental projects.

v. Introduction of foundation modules delivered off campus by work based learning methods.

Year 2 (prospective)

Key outcomes will be:

- identification and exploitation of further new sector opportunities and support for regional development plans
- improvement of succession planning and more strategically focused staff development
- further expansion of the portfolio and delivery capacity in strategic growth areas
- reduction of capacity in declining areas
- increased student numbers and income overall
- increased income from research and consultancy overall
- increased numbers involved in learning at work
- increased numbers enrolled on programmes delivered through e-learning methods
- strengthening of the teaching/learning model.

Project code: RCNW12

Support for the UK's capabilities in the use of robotic telescopes in higher education teaching, research and public outreach

Start date	March 2001
Expected completion	March 2003
Duration	Two years
Cost	Total project cost: £5.936 million HEFCE grant: £1.5 million
R&CF criterion	Collaborative arrangements between higher education institutions
Contact	J A Bickerstaffe, Pro Vice-Chancellor (Institutional Co-ordinator) Liverpool John Moores University 2 Rodney St LIVERPOOL L3 5UX
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Aims and objectives

This project centres around the university's involvement in the design, production, assembly, test and use of robotic telescopes in higher education teaching, research and public outreach. Its principal aim is to support the UK's capabilities in this area of scientific and technological development, utilising the prototype instrument, the John Moores University (JMU) Liverpool Telescope, as a frontline research and educational tool. The project involves an extensive collaboration with other UK HEIs and with the Particle Physics and Astronomy Research Council (PPARC).

This initiative in turn supports the Government's widening participation objective, specifically promoting the improved public understanding of science and technology linked to a national facility for the UK astronomical community. To initiate this exciting collaborative development and create a UK centre of excellence has required significant investment by the university and by PPARC, with additional support from the European Union, together with charitable donations. However, this initial investment did not allow the programme of works to be completed. To enable the Liverpool Telescope to be successfully completed and available for collaborative use at the earliest opportunity further investment from the university, PPARC and HEFCE (through the R&CF) has proved vital.

Programme of work

The following milestones have been achieved:

- spring 2001 – receipt of confirmation of operational support from PPARC for a 10-year period
- summer 2001 – completion of production of the Liverpool Telescope in the UK
- autumn 2001 – shipping of the telescope to international observatory site on La Palma
- spring 2002 – development of a collaborative academic programme with other HEIs.

The remaining milestones are:

- winter 2002 – commissioning of the telescope on-site
- spring 2003 – start of operations by JMU and project completion.

In addition, there are supplementary targets beyond the end of the R&CF project relating to wider interests and the indirect benefits of funding:

- summer 2003 – completion of spectrograph and infrared camera collaborative initiative
- summer 2003 – start of access to the telescope by astronomical community and schools
- summer 2003 – commissioning Faulkes Telescope North (Hawaii)
- winter 2003 – commissioning Faulkes Telescope South (Australia).

(Note that the Faulkes Telescopes are copies of the Liverpool Telescope, built as part of the same overall initiative, but almost exclusively for schools' use.)

Project outcomes

Collaborative instrumentation projects are nearing completion with the University of Manchester (prototype spectrograph) and Imperial College (infrared camera). Both of these have been funded by PPARC. A SRIF-funded project with the University of Southampton to build a 'production' spectrograph is under way. Similarly, we have commenced an e-Science (GRID demonstrator) project (e-STAR) with EPSRC/DTI funding in collaboration with the Universities of Liverpool and Exeter. In the first ('shared risks') allocation round for the Liverpool Telescope in open time (administered by PPARC), proposals involving 15 separate UK universities were received.

In addition, several proposals in JMU (restricted) time involve inter-university collaboration. The majority of time allocated to the public understanding of science on the telescope comes under the auspices of the National Schools' Observatory project. To date, approximately 200 UK schools have full membership of the project. The remaining time is taken up by peer-reviewed proposals from amateur astronomers, allocated through the auspices of the British Astronomical Association. Once the Liverpool, and then the Faulkes telescopes are fully operational, the number of users in all these categories will increase considerably, as will the level of inter-university collaboration.

Project code: RCNW13

Restructuring civil engineering provision

Start date	June 2001
Expected completion	October 2002
Duration	One year, four months
Cost	Total project cost: £4,856,940 HEFCE grant: £1,874,000
R&CF criteria	• Collaborative arrangements between higher education institutions • Structural realignments within institutions
Contact	Rachel Brealey, Assistant Registrar UMIST PO Box 88 MANCHESTER M60 1QD
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Aims and objectives

The aim of the project was to restructure civil engineering provision at UMIST and the University of Manchester to produce a centre of excellence for engineering education and research in the North West. The main objectives were to:

- establish an internationally recognised Centre for Civil and Construction Engineering teaching and research, with a critical mass of staff and rationalised facilities providing value for money and efficient use of resources within an environment encompassing all the main engineering disciplines

- refurbish the Pariser Building on the UMIST campus to provide accommodation for the civil and construction engineering activity at both UMIST and the University of Manchester in order to create a single site for staff and students
- develop the portfolio of programmes in civil and construction engineering, delivered from a single site and reflecting the individual strengths of the partners and the needs of the sector, thereby enhancing the student learning experience and employability of graduates
- amalgamate teaching and research facilities, processes and resources in civil and construction engineering, based on the existing synergies and complementarities of the partners, in order to create and sustain the necessary critical mass to ensure excellence at international level.

Programme of work

June -September 2001	Refurbishment of administration and IT facilities on C and D floors of the Pariser Building. First entry to joint BEng and MEng Civil Engineering programmes.
October 2001-April 2002	Appoint design team, issue tender documents and appoint main contractor. Refurbishment work to commence on site in April 2002 with completion expected in September 2002.
September 2002	Site work completed. Second intake to joint BEng and MEng Civil Engineering programmes. First transfer of students successfully completing the first year of the PBL programme in the Manchester School of Engineering, University of Manchester, to second year of the joint undergraduate programme in Civil Engineering.
October 2002	All University of Manchester staff and research students to transfer to refurbished office/laboratory accommodation in the Pariser Building.

Project outcomes

The overall restructuring process began in August 2000 with the decision to merge the Departments of Building Engineering and Civil & Structural Engineering at UMIST into a single department of Civil and Construction Engineering. This provided an opportunity to strengthen and enhance the existing activity, particularly in the area of project management, and created a department able to respond to the needs of a multi-disciplinary and ever changing industry. The second stage of the restructuring process was the consolidation of complementary skills and expertise in civil engineering from the University of Manchester with those at UMIST. This provided an environment to further develop strengths in each of the key teaching and research topics, and a critical mass of staff of international quality. The funding received from HEFCE allowed all three areas of activity to be fully integrated on a single site.

The refurbishment project was completed in September 2002 and the relocation of staff and students from the Department of Civil Engineering at the University of Manchester to the Pariser Building on the UMIST campus is under way. All undergraduate teaching is now undertaken in the Pariser Building, and students from UMIST and the University of Manchester are taught as a single cohort. From September 2002 this has included third and fourth year students, who were admitted prior to the restructuring project and were not initially included in the proposals for the joint activity. This has allowed significant rationalisation of teaching as well as providing a greater choice of course options for these students.

There was a relatively high level of overlap in terms of equipment and facilities between the two universities in this area. The refurbishment of laboratory and teaching space has allowed for rationalisation between UMIST and the University of Manchester, providing high quality and well equipped laboratory and teaching facilities. Two specialist research facilities have been maintained at the University of Manchester for research purposes (Heavy Structures and Fire Laboratories).

The first cohort of undergraduate students on the joint UMIST/University of Manchester BEng and MEng Civil Engineering programmes based in the Pariser Building have successfully progressed to the second year of the programme, and the second intake of students began programmes in September 2002. The new joint department has a single recruitment and admissions process, and economies of scale have been possible in terms of the administration and technical support and processes for the department.

A review of the undergraduate provision was undertaken in 2001-02, led by a senior advisor from industry, to make programmes more relevant to modern industry needs and more attractive to school leavers. A number of new programmes have been developed as a result of the review, most notably in 'Civil Engineering with Project Finance' which will embrace the management and financial 'engineering' of big projects as well as core engineering skills. In addition, two joint programmes with the Manchester School of Architecture – 'Structural Engineering with Architecture' and 'Architectural Design and Environment' – are being developed.

A joint submission was made to the civil engineering panel in the Research Assessment Exercise of 2001 and the activity was awarded a 5 (the UMIST department was graded at 3a and the University of Manchester department was graded at 4 in the 1996 RAE). Five research groups have been developed within the department – Structures, Geotechnics, Fluids, Management and Building – and the combining of the two departments has meant that each of these has a good critical mass of staff and students. Three new chair appointments have been made since September 2001, in building engineering, structural engineering and project management. Two lecturer appointments have also been made and two further posts have been approved for appointment, including a new investment post in coastal and offshore engineering.

It is expected that a single submission from the centre (including Building Services and Construction Management, which were previously returned to the Built Environment panel) will be made to the Civil Engineering panel in the next research assessment exercise, which will truly reflect the integration of the three areas of activity and the multi-disciplinary nature of both the teaching and research being undertaken.

Project code: RCNW14

Structural realignment of Department of Engineering & Product Design and Department of Computing

Start date	Dec 2001 – Design of new building (Oct 2002 – Commencement of construction of new building)
Expected completion	July 2005 – Building in use by university and partner college students, new staff in post and new programmes developed and delivered. (August 2003 – Construction complete)
Duration	Three years seven months – From building design to project completion (0 years 11 months – Construction of new building)
Cost	Total project cost: £4,298,190 HEFCE grant: £1,681,000
R&CF criterion	Structural realignments within institutions
Contact	Mike Milne-Picken, Head of Planning and Performance Review Office Planning and Performance Review Office Adelphi Building University of Central Lancashire PRESTON PR1 2HE
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Aims and objectives

The University of Central Lancashire has identified the development of its extensive technology and computing provision as one of its key strategic objectives in the period 2002-05. Supported by the R&CF, the university's objective is to continue with an extensive programme of restructuring the curriculum, staffing, accommodation and equipment provision of two large technology-intensive departments – the Department of Technology (formerly the Department of Engineering and Product Design) and the Department of Computing – in order to meet the needs of engineering and information technology professionals in the 21st century.

In developing the project the university has taken account of regional economic developments and areas of known skill shortages as well as a continued popularity and strength of student demand for new technology-based programmes.

The project aims to:

a. Co-locate the Departments of Technology and Computing in appropriate accommodation for the integrated use of new technologies.

b. To provide new equipment for the Departments of Technology and Computing in order to allow the development and expansion of new and existing technology based courses.

c. To develop new programmes in the Departments of Technology and Computing, particularly at postgraduate level, and to ensure that all programmes are up-to-date and vocationally relevant.

d. To develop partner college provision and progression opportunities.

Programme of work

The project includes several aspects:

- the construction of specifically designed, new-build accommodation which will allow the two departments to expand the technology-based aspects of their provision
- the provision of new equipment to allow the development and expansion of new and existing technology based courses
- the recruitment of new academic posts to allow development and expansion of the new provision.

Project outcomes

These will include:

- provision of new-build specifically designed accommodation
- provision of appropriate high specification equipment installed in the new building
- revalidated computing and technology provision and new programmes of study delivered
- new staff in post and new curricula prepared
- further new programme requirements reviewed and identified
- extensive usage of the new building by partner college students and staff.

Since the project commenced the University of Central Lancashire has also undertaken lead responsibility for the Lancashire and Cumbria New Technology Institute, a related development which also aims to enhance technology provision across the sub-region.

Project code: RCNW15

Merger of Chester and Warrington Collegiate Institute

Start date	August 2002
Expected completion	July 2005
Duration	Three years
Cost	Total project cost: £9 million HEFCE grant: £3.992 million
R&CF criterion	Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector
Contact	Malcolm Rhodes, Assistant Principal (Corporate Planning and Development) Chester College of Higher Education Parkgate Road CHESTER CH1 4BJ

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e-mail	m.rhodes@chester.ac.uk

Aims and objectives

This project has been the subject of detailed consideration as part of the HEFCE guide to good management practice. A case study of the Chester College of Higher Education acquisition of the Padgate Campus of Warrington Collegiate Institute will be published during 2003.

The project was designed to establish, by August 2002, a single, unified higher education institution formed from a strategic alliance between Chester College of Higher Education and the Faculty of Higher Education at Warrington Collegiate Institute, involving the acquisition of the Padgate Campus estate, and the transfer to Chester College of the institute's higher education student numbers and funding, and those staff, wholly or predominantly associated with the higher education provision on the campus.

This project sought to assure the future of higher education in Warrington and the wider sub-region which was under significant threat, being organised and delivered within the context of a further education institution, and fulfilled a number of strategic policy objectives set out by HEFCE, particularly: widening access, strengthening links and progression routes from existing further education provision to a broader-based and more flexible higher education curriculum; promoting the development of the regional economy; and supporting the growth of the higher education sector.

Widening access

Each institution was, prior to August 2002, supporting the Government's social inclusion agenda, playing a leading role in widening access to higher education in Cheshire. The integrated approach of the new merged institution was designed to ensure that those constituencies in the wider region, hitherto under-represented in higher education, were presented with opportunities for education and training which reflect both their needs and the wider social and economic needs of the communities in which they live and work.

Strengthening of links with further education

This merger will facilitate the strengthening of the organisational links between further and higher education institutions across the sub-region and the development of clear and accessible academic progression routes which existing structures do not provide. The establishment of a single, larger higher education institution provides a natural focal point for the strengthening of institutional links between further and higher education.

Development of the regional economy

The unified institution will play a more central role in the economic development strategy of the region and be better placed to respond to the world class knowledge-based companies that are increasingly attracted to the North-West requiring high level skills to maintain business performance. It is also necessary for the emerging high technology sectors to capitalise on the technical expertise provided by higher education institutions in the sub-region.

Growth

This project will assist in the fulfilment of the Government's objective to increase the participation rates in higher education to 50 per cent of the Age Participation Index by 2010. The strength of the recruitment base of Chester College of Higher Education and the potential of Warrington to develop will ensure that the new, unified institution will be well positioned to contribute to sector-wide growth.

Programme of work

The project is scheduled to be completed by July 2005 and will involve the major redevelopment of the campus, involving the creation of a new business management and IT centre and a substantial programme of campus-wide refurbishment to enhance a teaching and learning environment which has progressively deteriorated as a result of two decades of significant under-investment. Architects have been appointed and the design themes for the campus are being established in February-March 2003.

The programme of work consists of the following individual projects:

Infrastructure

- the installation of optic fibre cabling to establish the high speed data link between the two main campuses (November 2002)
- the replacement of extensive sections of the mains water supply pipe work (May-August 2003)
- the decentralisation of the central heating system to secure long-term financial savings and to meet appropriate environmental standards (May-June 2003)
- a major programme of demolition to remove buildings no longer fit for purpose (summer 2004).

Refurbishment

- the refurbishment of the campus theatre which has both curriculum and community benefit (autumn 2003)
- replacement of lifts in main building (autumn 2003)
- the refurbishment (including replacement roof) of the main student dining hall
- a full programme of external decoration and signage (March-June 2003)
- the external repair and refurbishment of the main lecture theatre (autumn 2003)
- the external repair and refurbishment of the main teaching buildings including the media buildings (spring 2003-autumn 2004)
- the pedestrianisation and landscaping of the centre of the campus (summer 2004-spring 2005)
- flat roof replacements (continuing)
- the renewal of selected external surfaces (continuing).

New developments

- the establishment of new outdoor sports facilities including a floodlit all-weather surface (September-December 2003) according to the requirements of a Section 106 Agreement
- the creation of a new business management and IT centre (September 2004).

Project outcomes

The project will deliver the full integration of the work of the Warrington Campus into Chester College of Higher Education by July 2005 and will involve the redevelopment of the campus and enhancement of the learning environment to a standard expected for a higher education institution offering undergraduate and postgraduate awards.

South-East

Project code: RCSE01

Creation of the new Thanet campus

Start date	March 1999
Expected completion	October 2000
Duration	18 months
Cost	Total project cost: £7.8 million HEFCE grant: £1,392,292
R&CF criteria	• Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major changes to the academic portfolio
Contact	Roger Clayton, Assistant Principal (Business) Canterbury Christ Church University College North Holmes Road CANTERBURY CT1 1QU
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e-mail	hrc1@cant.ac.uk

Aims and objectives

The creation of a new campus in Thanet will address two main issues:

- the need to increase participation in higher education in Thanet, which is consistently significantly below the national average
- to aid the economic regeneration of Thanet (the region has Objective 2 status).

The college did not seek a grant to cover the capital costs of the building but funding was sought to cover 50 per cent of the identified start-up costs.

Programme of work

First phase of funding: study to assess the feasibility of establishing an HE presence in Thanet.

Second phase of funding: business proposal to be prepared and submitted to the relevant internal and external bodies.

Third phase: start-up of the campus, including expenditure on communications, IT facilities, equipment for a learning centre, and an initial increase in academic and support staffing levels.

Project outcomes

The project started in March 1999 with a feasibility study, which was partially funded by HEFCE. Following the findings of the feasibility study, the college developed, with the support of HEFCE, a full business proposal which was submitted to the college's governing body, HEFCE and other parties in September 1999.

Implementation of the proposal began in autumn 1999 and involved:

- the securing of land
- obtaining planning permission
- applying for and securing funding from Objective 2 funds (Single Regeneration Budget and European Regional Development Funds)
- negotiating contracts for design and construction of building Phase 1 (opened September 2000) and Phase 2 (opened December 2001)
- official launch of Thanet Campus in January 2000 and start of construction
- validation of new academic programmes
- marketing and extensive PR activity
- opening of campus on 6 October 2000
- steady increases in the number of full and part-time students registered for programmes in all the college's four faculties.

Project code: RCSE03

Consortium for joint activities between specialist providers of art, design and communication studies

Start date	February 1999
Expected completion	Completion of HEFCE funding due March 2001, but partnership planned to continue thereafter
Duration	Two years, one month
Cost	HEFCE grant : £116,500
R&CF criterion	Collaborative arrangements between higher education institutions
Contact	CADISE Coordinator (to be appointed) The Surrey Institute of Art and Design Falkner Road FARNHAM GU9 7DS
tel	01252 892701

Aims and objectives

The aims of the Consortium are to:

- offer a representative voice for specialist providers of Art, Design and Communication within the region
- seek mutual benefit through the increased stability and enhanced opportunities available through larger critical mass
- develop a coherent range of academic opportunities within the region
- extend links with industry to provide specialist services and training opportunities

- maintain diversity of provision within the sector
- promote the recognition and reputation of individual institutions as specialist providers of education in Art, Design and Communication.

Programme of work/project outcomes

Project planning will commence following the appointment of the CADISE Coordinator. Initial planning assumes the coordinator will assist in the following outcomes during the life of the project:

- establish initial working arrangements for the CADISE initiative. S/he will:
    i. Research models of collaboration and assist the consortium continuously to improve its performance.
    ii. Assist the Policy Group to develop a methodology for managing CADISE funds.
    iii. Organise seminars, and develop other opportunities for communication within the consortium.
    iv. Work with professional colleagues to develop the CADISE identity.
    v. Work with professional colleagues to establish the CADISE web-site.
    vi. Promote, support and carry forward the policy and strategic planning work of CADISE, as directed by the CADISE Policy Group.
- maintain and develop channels of communication within the consortium. S/he will:
    i. Assist in the management of current collaborative projects and working groups, monitoring their progress; facilitate their success, and preparing reports as required.
    ii. Assist colleagues in the identification of new areas for collaboration and stimulate and guide new working relationships both within the consortium and with external partners.
    iii. Act as a conduit for funding opportunities within the region and more widely.
- maintain and extend the network of CADISE contacts with key regional players, and with national and EU partners where appropriate. S/he will:
    i. Act as a point of contact within the regional network, and ensure that CADISE participates in regional activities.
    ii. Represent CADISE at external meetings, in support of the chair and other members of the Policy Group.
    iii. Assist to develop and carry forward an internal and external communications strategy.
    iv. Facilitate the dissemination, within the consortium and externally, of the benefits of collaboration. This will include sharing insights into the CADISE 'model' as it develops.

Project code: RCSE08

Higher Education Regional Consortium

Start date	January 2000
Expected completion	December 2002
Duration	Three years
Cost	Total project cost: £320, 987 HEFCE grant: £187,500
R&CF criterion	Collaborative arrangements between higher education institution
Contact	John Weston, Chief Executive HESE London Square, Cross Lanes GUILDFORD GU1 1UN
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e-mail	Johnweston@hese.ac.uk

Aims and objectives

Higher Education South East (HESE) was set up as a company limited by guarantee to promote all HEIs in the South East England region. By encouraging a collaborative ethos it is committed to strengthen their contribution to the economic, social and cultural growth of the region.

Programme of work

See current business plan on www.hese.ac.uk. HESE works in the following broad areas:

- representation and advocacy
- regional intelligence, research and monitoring
- promotional work
- spreading good practice
- collaborative activity and external funding opportunities.

Project outcomes

HESE has provided a focus and catalyst for its 25 member HEIs in the largest of the English regions which has no significant tradition of inter-institutional collaboration. In addition to the heads of institution who meet twice yearly, regional networks of HE professionals working across a variety of fields relating to economic development and social inclusion have been created and facilitated by HESE to contribute to its aims.

It has established itself as the recognised forum for engagement between regional partners and the university sector in the South East, and the single voice for higher education on regional affairs.

The company has had a major and successful lobbying role in influencing the shape of the Regional Economic Strategy and the Framework for Regional Skills Action by working closely with South East England Development Agency (SEEDA) and other partners.

Good practice in the region has been identified and spread through reports, analysis, workshops and conferences in teaching and learning, research, third stream and widening participation activity.

HESE has attracted projects funded by SEEDA, HEFCE and the European Social Fund (ESF) in fields ranging from collaborative skills research, coordination of regional Partnerships for Progression and summer school work and management of the regional technical assistance budget for ESF.

Project code: RCSE10

Restructuring of the institution

Start date	October 2000
Expected completion	September 2005
Duration	Five years
Cost	Total project cost: £6.830 million HEFCE grant: £3,449,079
R&CF criteria	• Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major changes to academic portfolio • Structural realignments within institutions
Contact	Ed Ellis, Director New College University of Southampton Highfield SOUTHAMPTON SO17 1BJ
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Aims and objectives

Following its merger with the former La Sainte Union College of Higher Education (LSU) the university initiated a major restructuring plan with the aim of delivering a new and different vision for New College. This was for the development, within the context of a research-intensive university, of a centre of excellence committed to widening participation and lifelong learning, offering innovative new courses for groups currently under-represented in higher education. The project has a number of interlinked objectives based around changing the way in which subjects are offered to students.

Programme of work

a. Curricula offer: We phased out 'old' undergraduate degree programmes and devised a new curriculum offer more suited to the needs of the target constituency of students. The focus of this objective was the development of a professional studies framework, but the changes also included the relocation to New College of foundation programmes based elsewhere in the university, the development of new foundation year programmes, and the further development of part-time programmes.

b. Staff migration and development: Staff migrated into the new curriculum offer with the support of a staff development programme. At the same time we developed a flexible approach to meeting the college's staffing needs during the restructuring (initially through the use of fixed term contracts to support the work of the core team). The project then went on to establish programme teams of academic staff with sufficient critical mass to ensure a high quality learning environment.

c. Supporting activities in communication: We appointed a head of marketing to take the lead in extending and diversifying student demand. To lead our links with regional institutions we have appointed four outreach workers to work with partners in the region and to support tutors and students. In this way we have established, and are continuing to develop, effective partnerships with schools, FECs, community groups, trades unions and employers. We also appointed a head of student services to take the lead in developing and delivering learning support.

d. Changing the estate: The new teaching activities have been supported by improvements to the physical estate. These include creating a new library and learning resource centre, significantly extending IT teaching spaces by creating open access IT rooms, creating an IT laboratory and five additional IT teaching rooms, securing improvements in general access for students with disabilities and further developing sports studies facilities. These improvements went alongside other upgrading work, for example to refectory and social spaces, designed to change the way in which students accessed and used the campus.

Each of the objectives in the strategy was designed to promote changes to the student profile. The aim was to achieve a more diverse and genuinely mixed population of students on New College programmes. Widening participation was defined to include disabled students, black and ethnic minority groups, manual working class groups, students from poor neighbourhoods, students recruited directly from FE and through access groups, students of 25 years of age or above, women returners, and students with non-traditional educational backgrounds. The definition was wide and the widening participation (WP) targets set by the college were accordingly high, as can be seen in the following:

Widening participation targets

a. WP targets as per cent of total FTE:

- 2000-01 – 28 per cent
- 2001-02 – 35 per cent
- 2002-03 – 38 per cent
- 2003-04 – 40 per cent
- 2004-05 – 44 per cent.

b. WP targets as per cent of total PTE:

- 2000-01 – 65 per cent

- 2001-02 – 70 per cent
- 2002-03 – 75 per cent
- 2003-04 – 80 per cent
- 2004-05 – 85 per cent.

c. WP targets as per cent as total student FTEs:

- 2000-01 – 43 per cent
- 2001-02 – 48 per cent
- 2002-03 – 52 per cent
- 2003-04 – 55 per cent
- 2004-05 – 60 per cent.

Project outcomes

Our progress is first assessed through an analysis of our success in securing students from under-represented groups:

Widening participation outcomes

The college has:

- exceeded its full-time and part-time student targets for both years
- exceeded its targets for all students
- increased the number of WP students following its full-time programmes between 2000-01 and 2001-02
- held steady the number of WP students following its part-time programmes in the same period.

Project code: RCSE13

Feasibility study into expansion of HE provision at the Medway campus

Start date	Stage 1: 2001(represents the period of HEFCE R&CF funding) Stage 2: 2006
Expected completion	Stage 1: 2006 Stage 2: 2010
Duration	Stage 1: Five years Stage 2: Four years
Cost	Total project cost: £20.56 million (at time of bid) Total HEFCE grant: £34,332
R&CF criteria	The project addresses all five R&CF criteria
Contact	Nick McHard, Secretary and Registrar University of Kent CANTERBURY CT2 7NZ
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Aims and objectives

The overall aim of the Medway Development Project is to establish an integrated campus adjacent to the existing University of Greenwich Pembroke site, and to deliver a portfolio of HE courses through the University of Kent at Medway, the University of Greenwich at Medway and Mid Kent College. The portfolio aims to offer complementarity of provision, progression routes into and through HE, and draw on the specialisms of each institution.

The project plans to expand on the existing course provision and student numbers, and expand at sub-degree, undergraduate, postgraduate and CPD level, in full and part-time modes. This builds on the move of the University of Greenwich's Departments of Chemical and Life Sciences and Civil Engineering to Medway, and the launch of a joint Medway European Business Centre.

A key aim for the University of Greenwich and University of Kent is to investigate the development of a joint pharmacy provision to meet a well-established regional need and to widen participation, particularly from the local minority ethnic communities. A new University of Greenwich Division of External and Combined Studies (DECS) will further widen the portfolio, in order to achieve growth across a range of subjects, including joint honours degrees.

In addition to support via the R&CF, funding is being negotiated with both the South East England Development Agency (SEEDA) and the Medway Unitary Authority.

Programme of work

Initially a business case was proposed to HEFCE by the University of Kent, which was developed by Fuller Peiser, the appointed project consultants. During this early stage KPMG was commissioned to undertake a regional demand study for HE.

Having established a sound business case, which demonstrated a demand for HE in the Medway region, an R&CF bid was submitted to HEFCE which split the project into two stages, with phased development.

Stage 1: Phase 1 2001-02

- phase 1 of the first stage of the project focuses on Estates matters relating to the planning of land/property adjoining the University of Greenwich's Medway Campus, to be acquired from SEEDA, and the planning and development of residential accommodation
- relocation of the University of Greenwich's School of Chemical and Life Sciences to Medway, and the preparation for relocation of the Medway School of Engineering in advance of the transfer of the University of Greenwich's Civil Engineering Department
- in support of the development of a complementary portfolio of courses, a joint academic planning group (University of Greenwich,/Mid Kent College/University of Kent) has been established, along with reviews of support service arrangements to identify areas for unified provision
- a joint review with Medway Unitary Authority, to provide campus based social cultural and sports facilities, will be established.

Stage 1: Phase 2 2002-03

- December 2002 – The completion of a comprehensive master planning exercise for the site
- the start of planning and development towards a shared Learning Resource Centre

- planning towards the upgrade of ICT infrastructure to support joint working arrangements between University of Kent at Medway and University of Greenwich at Medway
- initial growth in student numbers for the University of Greenwich and the University of Kent at Medway in line with the KPMG demand study
- preparation of the campus for the joint University of Kent and University of Greenwich School of Pharmacy
- start construction of new residential accommodation for the University of Greenwich and the University of Kent at Medway.

Stage 1: Phase 3 2003-06

- planned start of the new joint Pharmacy provision
- realisation of the joint operation of shared Learning Resource Centre and related academic services and teaching accommodation
- relocation of University of Kent at Medway's sub degree and degree provision from Mid Kent College (Horsted) to a new Medway Campus, with associated capital developments on the adjacent SEEDA sites.

Stage 2: 2006-10

A development programme will be undertaken to support the continued growth in student numbers and regional activities, working with businesses, the local community as well as SEEDA and Medway Unitary Authority.

Project outcomes

The HEFCE R&CF grant has been key in the start of a long-term project, which plans to establish a shared accessible higher education campus at Medway for the University of Kent, University of Greenwich, Mid Kent College and the local community.

Stage 1 Phase 2 of the project (design and construction) will begin following the completion of the master planning period, and the finalisation of the funding agreements with SEEDA and Medway Unitary Authority.

The options presented in the master plan, whilst still retaining the original overall objectives of the bid, demonstrate a progression from the initial proposal, which will need to be explored further.

Project code: RCSE14

Support for restructuring academic portfolio

Start date	January 2002
Expected completion	July 2004
Duration	Two years seven months
Cost	Total project cost: £2,450,000 HEFCE grant: £912,000
R&CF criterion	Major changes to academic portfolio

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Aims and objectives

To support University College Chichester in enlarging its portfolio of programmes to help meet the challenge of its corporate plan to 'become a significant contributor to the economic regeneration of its immediate region'.

To introduce programmes in information technology, business and the performing arts in particular.

Programme of work

The realignment of existing resources through closure of programmes with poor recruitment will enable the university college to progress a series of new developments which are both community-focused and vocationally oriented, and which grow from the existing work of the college. An essential stimulus was provided through HEROBC funding for 2000-01, which enabled the creation of a Business & Community Development Unit as a focal point for the development of partnerships with local businesses.

In this respect, a proven model for meeting employer needs already exists at the college, in the collaboration with schools and local authority providers that takes place in both its Initial Teacher Education (ITE) and its social work education. The intention is to extend this model to support the major job generating industries of the region, noting that 'business' includes the land-based industries. Sussex Enterprise identifies sectoral growth in 'business services; tourism; education and health services; and arts and recreation' (The Sussex Economy 2001 – bright horizons' Sussex Enterprise Jan 2001). The new developments are:

a. An ICT centre that focuses on the needs of the coastal strip. UCC has experience of developing ICT to meet particular needs through its establishment of the successful computer centre for the training of teachers. This experience will be built upon to create an ICT centre that can prepare students to enter local industry. The focus will be on the ICT needs of SMEs particularly in the service industries. Awards in ICT will be offered as a subject in its own right and in conjunction with any other subject in the portfolio.

b. Visual and performing arts. One of UCC's strengths is in the visual and performing arts. The intention is to build from current provision in fine art, dance and music to introduce a vocational development strand relevant to the needs of the creative arts industries. There will also be the introduction of two additional 'minor' pathways in media arts, offering an effective expression of complex visual information in two, three and four dimensions and in design for digital media responding to the growth of this industry in the immediate region.

c. Business and management studies as a subject to be taken alongside other disciplines. This subject will be developed, in consultation with local employers to provide a vocational slant for all subjects at UCC It will focus particularly on entrepreneurial and management initiatives, supporting students who wish to set up businesses or operate effectively in management posts when they graduate. This development will create the potential for all UCC awards in all subjects to be professional in orientation and to provide a clear lead-in to the workplace after graduation.

Project outcomes

September 2002 – to have validated, with appropriate external representation, undergraduate degree programmes in ICT, business and management (including tourism management) and performing arts and to have recruited students to these programmes. This has been achieved with the exception that recruitment to tourism management will be from September 2003.

January 2003 – complete the refurbishment of an existing building on UCC's Bognor Regis campus to provide specialist accommodation for ICT and business

September 2003 – complete the refurbishment of an existing building on UCC's Chichester campus to provide specialist accommodation for performing arts.

September 2004 – have enrolled 110 full-time students to business and IT programmes and 117 to the full-time programme in performing arts.

Project code: RCSE18

Support for the university in developing its recovery plan

Start date	August 2002
Expected completion	July 2003
Duration	One year
Cost	Total project cost: £282,087 HEFCE grant: £282,087
R&CF criterion	Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector
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Aims and objectives

The aim of the project is to increase the overall rate of retention and reduce variation between different student groups through implementation of a set of focused initiatives. The institute has relatively wide participation. Retention rates of students from widening participation backgrounds exceed those of students from other backgrounds. The project will monitor the effectiveness of the initiatives on different aspects of retention and different student groups.

Programme of work

The Institute developed a retention strategy and action plan in May 2002 following work carried out by an institute-wide retention group since 1996. In June 2002, HEFCE agreed to support the implementation of the strategy from the R&CF. Planned actions include:

- appointment of retention co-ordinators and research fellow
- production of faculty action plans
- modifications to induction programme
- modification to attendance monitoring
- introduction of proactive personal tutoring system
- introduction of student peer guide system
- modifications to resit and revision arrangements
- creation of a student retention forum.

Project outcomes

The intended outcomes include:

- improvements to in-level retention, progression and return rates
- reduced variation in retention rates between different groups of students
- greater understanding of the causes of non-retention and the effectiveness of actions to enhance retention.

Since the project was initiated, the planned actions have been implemented and a predictive model of retention has been developed. Retention and return rates have improved and both exceed the targets set in the strategy.

South-West

Project code: RCSW02

Support for the transfer of physics from UEA

Start date	June 1998
Expected completion	September 1999
Duration	One year, three months
Cost	Total project cost: £373,626 HEFCE grant: £185,935
R&CF criteria	• Collaborative arrangements between higher education institutions • Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

To help the University of Bath meet the costs associated with establishing new research laboratories to accommodate the research interests of staff relocating from the University of East Anglia (UEA) to the University of Bath. These relocations resulted from the University of East Anglia's decision to close its School of Physics. The aim of the transfers was to achieve academic rationalisation, involving two nationally excellent research centres.

Programme of work

- the University of Bath refurbished and equipped a number of laboratories to accommodate the research interests of the staff transferring from the University of East Anglia to the University of Bath
- four physicists transferred from the University of East Anglia (UEA) to the University of Bath in June/July 1998
- one further physicist transferred from UEA to Bath in September 1999 and a second transferred from UEA to the University of Cambridge (the transfer of a member of staff to the University of Cambridge represented a revision to the original programme)
- UEA transferred the QR funding associated with the transferring staff in a phased manner
- UEA contributed supporting equipment valued at between £600,000 and £1 million which was relocated to refurbished laboratories at the University of Bath

- UEA and the University of Bath transferred additional FTE to the Department of Physics at the University of Bath
- an adjustment of 37 was made by HEFCE to Bath's MaSN for 1998-99.

Project outcomes

Assistance with the cost of transferring equipment from UEA to the University of Bath has allowed the Department of Physics at the University of Bath to maintain delivery of high quality teaching and research to students from both universities. The transfer of five researchers from UEA has permitted the University of Bath to achieve the 'critical mass' necessary to exploit opportunities for commercial development.

The first phase of the project began in September 1998 with the relocation of four members of UEA staff to Bath. This significantly benefited students studying physics at Bath, including those transferring from UEA, by increasing the choice of topics available for final year student projects and introducing new teaching activities. The quality of the resultant combined teaching provision was evidenced by the award of full marks for each core aspect in the QAA subject review in April 1999.

The relocation funding has enabled the University of Bath to establish two additional research laboratories, a spectroscopy laboratory and a positron laboratory. These laboratories have helped to resource new collaborative research projects and have extended the facilities available for final year student projects and for postgraduate research students.

The second phase of the project was completed in September 1999 with the relocation of one of the remaining two members of UEA staff to the University of Bath and the other to the University of Cambridge. This revision to the original project proposal produced a more coherent alignment of the new expertise with existing research groups at Bath and Cambridge.

Project code: RCSW03

Higher Education Regional Consortium

Start date	1 February 2000
Expected completion	31 January 2003
Duration	Three years
Cost	Total project cost: £275,000 HEFCE grant: £150,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The aims of the association are:

- to extend higher education's contribution to sustainable regional development and competitiveness
- to influence and shape the social and economic agenda in the South-West region by appropriate joint action.

To achieve those aims, the association has the following objectives:

- to act as a focal point for effective liaison and co-operation between higher education institutions and key regional and sub-regional agencies
- to encourage HEIs to be active participants in the development and, where appropriate, delivery of key regional strategies
- to monitor the contribution that HEIs make to regional economic performance, benchmarking the contribution nationally and internationally and suggesting ways of optimising that contribution
- to promote good practice in co-operation and helping to publicise the role of HEIs in this activity
- to encourage the exploitation of the knowledge base of the region's HEIs
- to encourage wider collaborative activity between the region's HEIs where this is considered to be beneficial both collectively and individually
- to carry out such other activities as the association considers to be in furtherance of the objectives set out above.

Programme of work

HERDA-SW works through a structure comprising: a strategy board of heads of institutions, meeting twice yearly; an executive committee of senior institutional managers; a number of special interest groups focused on areas of significance in the region; and other affiliated committees and groups, reporting to the executive committee.

HEFCE funding has enabled HERDA-SW to establish a secretariat, comprising a head and administrative support officer, to facilitate the achievement of its aims and objectives.

During the period 2000 to 2003 HERDA-SW will undertake activities to achieve the aims and objectives set out in its current strategic plan. These activities are identified in operational plans developed on an annual basis.

The aims identified in the strategic plan are:

- to influence and shape policy and strategy in relation to social and economic development to create opportunities for HE to make a greater contribution in the south-west
- to increase interactions with business for the mutual benefit of HE, business and the regional economy

- to develop the employability, and support the career and professional development, of students and graduates in the south-west
- to stimulate and meet a wider demand for higher education from groups under-represented in the student population
- to make a planned contribution to the sustainable economic regeneration of priority sub-regional areas in the south-west
- to create a regional ICT infrastructure which enables HE to expand and improve the support it provides for learning, research and wealth creation in the region
- to ensure policy- and decision-makers make full and proper use of available information and research in shaping the social and economic development of the south-west.

Project outcomes

Since the introduction of HEFCE funding, outcomes of association activity have included the following:

a. Delivered the Fulcrum Programme, a HEROBC-funded regional initiative to provide professional development, information and network support to HE staff working in business relations functions.

b. Launched a web-based regional business information service, Knowledge4Business (www.k4b.co.uk), to improve access to HE business services in the region's HEIs.

c. Won and initiated a £2 million collaborative HEIF project and £3.7 million collaborative RDA project, entitled Knowledge Exploitation SW, to develop knowledge entrepreneurs, support regional businesses and better exploit the commercial potential of the HE knowledge base.

d. Provided the infrastructure to manage the business planning for the major Partnerships for Progression initiative in the south-west.

e. Developed a regional recruitment and development site for graduates in the south-west – www.gradsouthwest.com.

f. Held three annual conferences for up to 185 delegates focusing on HE's contribution to the region.

g. Agreed a three-year strategic plan – setting an agenda for HE's contribution to the south-west.

h. Developed, with the South-West RDA, a second annual joint work programme of activities for both parties in achievement of common objectives.

i. Secured HE representation on key regional bodies and groups and established a selection and support system for regional HE representatives.

j. Produced a report on the regional contribution of HE in the south-west, published an economic impact study of HE in the south-west and managed a research study into the south-west graduate labour market in order to retain and attract graduates to the region.

k. Expanded operations from two special interest groups: widening participation and business relations, to five special interest groups, adding marketing and

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communications; careers; information and communications technology and a further associated group in creative industries. All groups bring together representatives from the regions HEIs with key individuals from regional organisations such as the South-West of England Regional Development Agency, LSC, SBS, and Government Office South-West.

l. The member institutions reviewed the effectiveness of the association in November 2002 and agreed to commit to the association for a further five-year period to 2007.

Project code: RCSW06

Support for the Combined Universities in Cornwall

Start date	August 2000
Expected completion	March 2004
Duration	Three years seven months
Cost	Total project cost: £71 million HEFCE grant: £325,000
R&CF criterion	Collaborative arrangements between higher education institutions
Contact	Gordon Kelly, CUC Coordinator Tremough Campus PENRYN TR10 9EZ
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Aims and objectives

The aim of the CUC initiative is twofold: to expand HE opportunities available in Cornwall; and to provide an economic stimulus to the county.

This will be delivered in this, the first phase, by the development of a new Academic HUB (embracing Tremough, Penryn and Falmouth College of Arts' Falmouth Campus) and through the network of three FE colleges in the county (the RIM), the College of St Mark and St John and the Open University.

The objectives of this element of the first phase of the project are:

- to produce a business plan for the project
- to create a CUC coordination office, with a coordinator and administrator, for the period March 2001 – March 2004
- to formalise the CUC partnership through an unincorporated association with a signed constitution
- to produce a master plan for the Hub campus
- to gain outline planning consent for the Hub campus
- to secure funding package for both Hub and Rim developments of the project

- to market-test some course content for the project
- to produce an economic development strategy for the project.

Programme of work

Objective	Completion
• to produce a business plan for the project	March 2001
• to create a CUC coordination office, with a coordinator and administrator for the period March 2001 – March 2004	March 2001
• to formalise the CUC partnership through an unincorporated association with a signed constitution	Dec 2001
• to produce a master plan for the Hub campus	March 2002
• to gain outline planning consent for the Hub campus	June 2000
• to secure funding package for both Hub and Rim developments of the project	August 2002
• to market-test some course content for the project	Sept 2002
• to produce an economic development strategy for the project.	October 2002

Project outcomes

- a business plan for the project (complete)
- a CUC coordination office, with a coordinator and administrator, for the period March 2001 – March 2004 (ongoing)
- a CUC partnership with a signed constitution through an unincorporated association (complete)
- a master plan for the Hub campus (complete)
- outline planning consent for the Hub campus (achieved)
- a funding package for both Hub and Rim developments of the project (achieved)
- market feedback for some course content for the project (ongoing)
- an economic development strategy for the project (complete).

Project code: RCSW07

Support for the Combined Universities in Cornwall

Start date	December 2001
Expected completion	March 2007
Duration	Six years and three months
Cost	Total project cost: £71 million HEFCE grant: £3.5 million
R&CF criterion	Collaborative arrangements between higher education institutions
Contact	Gordon Kelly, CUC Coordinator

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Tremough Campus
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Aims and objectives

The aim of the CUC initiative is twofold: to expand HE opportunities available in Cornwall; and to provide an economic stimulus to the county.

This will be delivered by the development of a new Academic HUB (embracing Tremough, Penryn and Falmouth College of Arts' Falmouth Campus) and through the network of three FE colleges in the county (the RIM), the College of St Mark and St John and the Open University.

The objectives are:

- to formalise the CUC partnership through an unincorporated association with a signed constitution
- to create a joint company between the University of Exeter and Falmouth College of Arts at the Hub, Tremough, to manage the joint facility
- to create the Hub and Rim infrastructure, comprising a £60.7 million building programme
- to recruit staff and develop teaching and research programmes for the Hub and Rim
- to recruit 2,000 additional students to study in Cornwall.

Programme of work

Objective	Completion
• formalise the CUC partnership through an unincorporated association with a signed constitution	December 2001
• to create a joint company between the University of Exeter and Falmouth College of Arts at the Hub, Tremough, to manage the joint facility	September 2002
• to create the Hub and Rim infrastructure, comprising a £60.7 million building programme	September 2002
• to recruit staff and develop teaching and research programmes for the Hub and Rim	September 2007
• to recruit 2,000 additional students to study in Cornwall	September 2007

Project outcomes

- a formal CUC partnership based on an unincorporated association with a signed constitution (achieved)

- a joint company between the University of Exeter and Falmouth College of Arts at the Hub, Tremough, to manage the joint facility (achieved)
- a Hub and Rim built infrastructure, comprising a major Hub development at Tremough, Penryn; developments at Cambourne, Pool, Redruth; Rosewarne; St. Austell, Newquay; Stoke Climsland and Saltash for the Cornwall College Group; and at Truro College (ongoing)
- to recruit 71 staff and develop over 60 teaching programmes and supporting research for the Hub and Rim (ongoing)
- to recruit 2,000 additional students to study in Cornwall (ongoing).

Project code: RCSW08

Support to provide a regional centre for performing arts

Start date	October 2001
Expected completion	August 2005
Duration	Three years, 11 months
Cost	Total project cost: £3 million HEFCE grant: £1 million
R&CF criterion	Major changes to academic portfolio
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Aims and objectives

The aim of the project is to provide a regional centre for the performing arts at Bath Spa University College (BSUC), complementary to its existing provision. Its main objectives are:

- to allow BSUC to establish performing arts at its Newton Park campus and a partner FE college with significant cohort of students drawn both locally and nationally
- to provide a bespoke 150 seat theatre space for practice and performance, rehearsal spaces, associated props, scenery and costume workshops, dressing rooms, seminar and office spaces in close proximity to existing accommodation for dance and music.

Programme of work

A multi-disciplined design team lead by chartered architects, Feilden Clegg Bradley, has been appointed following a competitive tendering process.

The preferred site for the performance arena is currently occupied by a refectory. That facility will be transferred to another building in April 2004. The theatre and associated resources, comprising a mixture of new-build and refurbished premises, will be constructed over a 60 week period for occupation in August 2005.

Project outcomes

To 31 October 2002:

- temporary accommodation has been created to provide a base for the first cohort of 70 students to the BA (Hons) Drama course
- the recent validation of a new BA (Hons) course in Performing Arts has recruited 23 students to its first year intake
- the client brief for the Performing Arts Arena has been completed with input from appropriate senior academic staff and external practitioners in relevant professions.

Project code: RCSW09

Support for a study in to student demand

Start date	November 2001
Expected completion	August 2004
Duration	Two years, 10 months
Cost	Total project cost: At least £2 million to date HEFCE grant: £1.6 million
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The bid for funds was made by Bournemouth University and the Arts Institute, Bournemouth, on behalf of all publicly-funded providers of HE located in the sub-region, to support a project that will go some way to realising the significant potential growth in student numbers identified in the study which all partners commissioned from KPMG. It was argued that if a significant increase in and widening of participation (in full and part-time modes) was to be achieved, a step-change in approach and concomitant investment is essential.

Building on more than a decade of effective partnership, a collaborative project was proposed that would:

- maximise the potential for participation in HE identified by KPMG
- significantly widen participation in HE

- enhance the knowledge and skills of the population (and workforce) of the sub-region.

Programme of work

The overall Dorset/South Somerset/South Wiltshire (DSW) project is designed to:

- raise the profile of HE in the sub-region
- make HE more accessible and more flexible and suited to the needs of the would-be student
- minimise dependence on time and location
- to create viable, focused and effective HE centres in FECs across the sub-region
- to utilise existing FEC outreach networks, such as Community Learning Centres, in order to widen access and participation
- to improve the quality of learning opportunities for all
- exploit economies of scale across a distributed network.

The 3-year project has been designed to generate the step change necessary to overcome the challenges noted above. There are numerous elements within the project, all designed to provide a lasting infrastructure for the quality provision of higher education with maximum access. These include the development of an ICT infrastructure that supports a uniform, accessible HE environment for all students in the sub-region, wherever they live and work, the partners accepting that all students should have equal access to appropriate learning resources, and should have a broadly comparable educational experience.

It is also recognised that students may wish to access HE as they move around the sub-region through their employment. In order not to disadvantage such students, the partners will develop and adopt a coherent sub-regional credit-based framework, to maximise progression opportunities across (and, where appropriate, beyond) the partnership.

Project outcomes

The three-year project is designed to lead to both greater and wider participation in HE in the sub-region. Additional ASNs of the order of 1,400 students over three years are planned to accompany the level of support requested from the R&CF, and the original application noted that the growth would be phased, to ensure time for adequate planning and deployment of the infrastructure and support required.

The DSW partnership is developing into an excellent platform upon which to build Partnership for Progression initiatives, as well as to engage with the challenges of a new 14-19 education system as outlined in the Green Paper.

West Midlands

Project code: RCWM01

Support for the development of the Leicester Warwick Medical School

Start date	1 January 2000
Expected completion	Completion of HEFCE funding due March 2002, but partnership planned to continue thereafter
Duration	HEFCE R&CF funding expected to last three years. LWMS will run on funding from recurrent HEFCE funds for teaching and research and NHS funding for clinical education
Cost	Total project cost: £3,204,000 HEFCE grant: £278,000
R&CF criteria	• Major changes to the academic portfolio • Collaborative arrangements between higher education institution
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Aims and objectives

The HEFCE grant has met a proportion of the start-up costs associated with the establishment of the Leicester Warwick Medical School (LWMS). In particular it has helped meet costs associated with creating the medical education infrastructure required by the school – mainly at the University of Warwick, but also at the University of Leicester.

Programme of work

The programme of work has been as follows:

a. Appointing academic, administrative and technical staff to the Universities of Warwick and Leicester required to deliver the four-year stream of the MBChB degree at the University of Warwick.

   - the majority of the key academic, administrative and technical appointments have now been made.

b. Developing an interface between LWMS and the NHS for medical education in Coventry and Warwickshire.

   - the appointment of three clinical senior lecturers, plus the appointments made in primary care, will ensure that there are effective operational links at the level of curriculum delivery between the LWMS and its key NHS partners in Coventry and Warwickshire.

c. Identifying and refurbishing temporary teaching facilities suitable for graduate-entrant medical students for 2000-01 at the University of Warwick pending the completion of a medical sciences building at Warwick in 2001.

  - the LWMS at Warwick was successfully established in temporary accommodation for academic year 2000-01
  - the medical sciences building for the LWMS at Warwick was opened on time in August 2001 and is functioning extremely well with the current student population of 192. The planned steady state intake of 164 students will be admitted from September 2003.

d. Refurbishing teaching and dissection facilities at the University of Leicester.

  - the refurbishment of the medical school lecture theatre and dissection room at the University of Leicester is now complete.

e. Creation of a cross-institutional management structure to oversee the development and operation of the LWMS.

  - following the recent significant changes in the NHS at the national and local level and the much more rapid expansion of student numbers than had originally been envisaged by the LWMS, the two universities held a series of discussions on how best to develop the school within these changed circumstances. While remaining fully committed to a strategic partnership for teaching, the two universities are now implementing a more federal model of development, which would allow the two arms of the medical school to act in a more autonomous manner to address the complexities of managing a very large school (the third-largest in the country in terms of student numbers by 2003) across an equally large geographical area.

Project outcomes

Our initial planned outcome of delivering the four-year stream of the LWMS MBChB to graduate-entrant students based at the University of Warwick by staff located at both universities via state of the art teaching and learning technology has been achieved.

The longer-term outcomes detailed in previous R&CF progress reports – namely the establishment of a Joint Faculty of Medicine of the Universities of Leicester and Warwick – have now been reviewed in the light of the changed circumstances detailed above and the new structure that has been implemented.

The two universities remain committed to genuine partnership, with the central aim of delivering medical teaching and research that is of the highest quality and relevant to the healthcare needs of the nation in the early 21st century.

Project code: RCWM03

To support the restructuring of the university

Start date	April 2000
Expected completion	July 2003
Duration	Three years, four months

Cost	Total project cost: £4,500,000 HEFCE grant: £1,509,000
R&CF criteria	• Collaborative arrangements between higher education institutions • Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

The aim is to support the restructuring of the university to facilitate development and growth in the core academic stream. It seeks to align the academic organisation of the university with the opportunities for enhancing its distinctive strengths as a leading provider of multidisciplinary education.

The project includes the following elements:

- relocation costs and pump-priming initiatives, to capitalise on a major reconfiguration of academic departments into multidisciplinary schools
- retraining costs for support staff in the new schools, building on the successfully introduced single pay spine
- pump-priming initiatives in response to external pressures and opportunities
- transfer of classics department to the University of Manchester
- implementation of a strategic alliance with the Open University.

Programme of work

The programme of work includes:

- physical relocation of departments to promote greater integration of their activities in new schools: completed September 2000
- investment in staffing costs in the reconfigured schools to generate new interdisciplinary undergraduate and postgraduate programmes: completion due July 2002
- transfer of classics department to Manchester: completed September 2000
- implementation of joint course developments with the Open University, on the basis of an exchange of expertise, drawing upon disciplinary strengths at Keele, and pedagogic systems and methods at the Open University: completion due December 2003
- development of a retraining programme for support staff to increase their flexibility and update their skills to facilitate the work of the new schools: completion due July 2003.

Project outcomes

The outcome of the project is the creation of a more efficient and more flexible institution, capable of adapting to new development opportunities in the context of the Keele mission of interdisciplinary education. The number of separate academic units in the university has been reduced by a third, and opportunities for curriculum innovation at undergraduate and postgraduate level are being exploited, particularly in the Schools of Social Relations, Politics, International Relations and the Environment, Language, Culture and the Creative Arts, and Earth Sciences and Geography. Staff in cognate disciplines have been relocated within the campus to facilitate more effective collaboration in their teaching and research.

A range of initiatives is leading to the introduction of clusters of undergraduate and postgraduate programmes, drawing upon common sets of modules and disciplinary expertise. These will enrich the Keele curriculum and increase its capacity to attract additional students to established areas of its offering and to new programmes, especially in the taught postgraduate field.

To promote flexibility across the university, particularly in the sciences and parts of the social sciences, Keele will have by the end of the funding period a cohort of support staff who have undergone extensive retraining. There will be increasing emphasis on multi-skilling, and on the capacity of staff to work across a wider range of disciplinary activity. The transfer of classics has protected teaching and research in classical studies in the north-west by creating a larger and more viable unit at Manchester. It has also supported Keele's policy of concentrating resources in larger academic units. More generally it has served as a model of closer and constructive relations with universities in the region.

A further example of collaboration is provided by the strategic alliance with the Open University, which combines Keele's strength in specific disciplinary areas with the Open University's sector-leading expertise in distance learning. Four new programmes are being developed by course teams that bring together, on a long-term basis, staff from both institutions.

Project code: RCWM04

Higher Education Regional Consortium

Start date	August 1999
Expected completion	July 2002
Duration	Three years
Cost	Total project cost: £183,000 HEFCE grant: £75,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

- to set up an Association of HEIs in the West Midlands with the aims of encouraging and supporting joint initiatives and developments; providing a common forum for inter-institutional discussion of regional, national and international issues
- supporting a framework for curriculum development; supporting research and development
- supporting economic and social regeneration. The objectives of the Association are:

  i. To act as a non exclusive conduit for contact and communication between HEIs in the region; and to ensure all HEIs are aware of developments which might affect them.

  ii. To promote the role and contribution of the sector in economic development in the region.

  iii. To act as a single point of reference for HEIs in the region with whom outside organisations, government departments and other bodies can communicate.

  iv. To co-ordinate quick and comprehensive dissemination of information from outside organisations to HEIs in the region.

  v. To undertake a communication role to ensure that all HEIs within the region are aware of issues on which views and comments are being sought (both internally and externally), and to ensure all HEIs are aware of developments which might affect them.

  vi. To represent the sector where requested by the regional HEIs and or Universities UK on working parties, information groups and similar for a response which requires a sectoral view point.

  vii. To provide a co-ordination and management role for activities undertaken by HEIs jointly on a regional basis.

Programme of work

- establish an association with a constitution, management group, officers, subscription mechanism, secretariat and external profile
- provide a forum for interchange of ideas between HEIs
- collaborate with external agencies in the development of regional policy
- review areas of the curriculum and subjects where there is a mismatch between supply and demand
- empower the association to make bids for funding to benefit all members, as well as the community at large
- provide a single access point or focus for HE activity in the region
- support regional regeneration.

Project outcomes

a. An association has been established with constitution, strategy committee, management committee officers, secretariat subscription mechanism and substantial regional profile.

b. The association provides a forum for interchange of ideas between HEIs via regular meetings of strategy and management groups, specific working groups on critical issues facing the sector and seminars on key regional developments.

c. A single point of reference for organisations outside the HE sector has been provided. In addition an information flow from these organisations into member institutions either via the regular meetings or via e-mail contacts for more urgent communications has been provided.

d. Reviews of areas of the curriculum where there is a mismatch between supply and demand have been undertaken, for example, in engineering and languages provision.

e. Working groups have been set up to enhance regional expertise in important development areas of higher education activity, for example, widening participation and foundation degrees.

f. Promotion of higher education in the region via involvement in 'The Regional Mission' – the regional contribution of higher education and via other initiatives has taken place.

g. Collaboration with Advantage West Midlands (the Regional Development Agency), Government Office West Midlands and the Regional Assembly has taken place in the development of regional policy, notably in leading the West Midlands Innovation Strategy and being heavily involved in the development of the business growth and learning and skills elements of the Regional Economic Strategy.

h. Association funding bids under HEROBC II and HEIF have been successfully made. The 'contact' programme (HEROBC II) and the West Midlands Industrial Liaison Officers group activities have been integrated into the West Midlands Higher Education Association (WMHEA) structure.

i. The regional regeneration agenda has been strongly supported via Economic Strategy and Innovation Strategy (see above), involvement in the development and leadership of some actions within 'Agenda *for* Action' the Advantage West Midlands Action Plan and developing work with regional plans for the Framework for Regional Employment and Skills Action.

j. The WMHEA has engaged in strategic action with regional partners. For example the WMHEA together with Advantage West Midlands and the West Midlands Local Government Association founded and funds the West Midlands in Europe office and activities in Brussels. This funding is an additional subscription by members over and above their agreed WMHEA subscriptions.

Project code: RCWM06

Rationalising and restructuring science, technology and language provision

Start date	June 2000
Expected completion	July 2003
Duration	Three years of HEFCE funding with preliminary work funded by the institution
Cost	Total project cost: £4.467 million HEFCE grant: £1.599 million
R&CF criteria	• Collaborative arrangements between higher education institutions • Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

The restructuring and collaboration project is part of a major review of all institutional activities which sets the context within which the project takes place. The review covered: curriculum, modularity, estates, budgetary systems and collaborative arrangements with a view to improving the university's efficiency, usage of resources, and response to changing market needs. The specific aims and objectives of the restructuring and collaboration project are:

Engineering and the built environment

- to rationalise, restructure and refocus engineering and built environment provision
- to redirect resources within engineering and the built environment away from areas of low demand and into areas of growing demand from students and industry
- to develop teaching, research and support for industrial organisations in specialisms with proven expertise and growing demand
- to develop collaborative arrangements with other institutions to provide logical, integrated and comprehensive provision for local and regional students.

Health sciences and applied sciences

- to integrate and rationalise provision providing support for institutional restructuring
- to utilise scarce resources more effectively, particularly in the life sciences area

- to refurbish and modernise laboratory facilities for health sciences and applied sciences and to utilise them on a joint use basis
- to support collaboration with regional partners.

Language and European studies

- to rationalise and restructure languages provision
- to reconfigure the languages curriculum and provide for increased demand for languages with other vocational provision while recognising the reduction in demand for a number of specialised languages and European studies routes
- to integrate languages and humanities provision and rationalise facilities
- to support collaborative linkages on a regional basis.

Programme of work

The activities in the project were scheduled as follows:

Year 1

- all necessary background investigation completed
- planning of restructuring programmes completed
- discussions with collaborative institutions
- planning of curriculum development completed
- planning of resources and facilities improvement
- commencing facilities development
- staff re-training.

Year 2

- implementation of restructuring activities
- validation and pilot implementation of curriculum developments
- continuing resources and facilities improvement
- staff retraining.

Year 3 and subsequently

- completion of restructuring activities
- implementation of curriculum developments
- completion of resources and facilities provision
- completion of staff retraining.

Full implementation – July 2003.

It should be noted that, as there are effectively three linked sub-projects within the overall restructuring and collaboration project, these sub-projects will operate to different time scales within the overall programme above.

Project outcomes

The project is now approaching completion. All physical redevelopments have been completed and the restructuring of programmes and departments has been successful. The majority of staff retraining has been carried out and this continues through to the end of the current academic year.

In engineering and the built environment new curriculum has been designed and implemented successfully. Collaborative arrangements have been developed with other institutions. Equipment and software have been acquired and staff training is approaching completion.

In health and applied sciences the two areas of work have now been integrated. Laboratory facilities for the areas concerned have been rationalised, refurbished and modernised. First class facilities and equipment are now available for use on a joint basis. Collaboration with regional partners has been developed.

In languages and European studies the merger with humanities and social sciences has taken place. Reconfiguration of the languages curriculum has been implemented and staff training is taking place. Significant rationalisation of facilities has been possible. Collaborative linkages within the university and with regional partners have taken place.

Overall the R&CF project has been successful. The project has been a key element in a major rationalisation, improvement and development process. Remodelled areas of activity have been developed and implemented, and academic health and vitality ensured in important areas of university provision.

Project code: RCWM07

To support the university's re-profiling and strengthening of its provision in science, engineering and technology

Start date	September 2000
Expected completion	September 2002
Duration	Two years
Cost	Total project cost: £4,371,000 HEFCE grant: £2,185,500
R&CF criteria	• Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

The aim of the project is to support the university's re-profiling and strengthening of provision in science, engineering and technology in the light of changing demands and in the context of national and regional priorities for knowledge, skills and research developments.

It achieves this aim through the following:

- the provision of high quality facilities for a number of new BSc (Hons) Technology Awards designed for the education of incorporated engineers and engineering technicians, an innovation at national level in engineering education
- expansion of the number of technology undergraduates and part-time postgraduates in keeping with the identified needs of the region
- restructuring and re-profiling of science provision to restore numbers and diversity by redirecting investment from areas of limited development potential in chemistry and physics to new cross-disciplinary awards that build on proven strengths in teaching and research and are of benefit to the region
- the transfer of physics to Keele University to strengthen the provision of physical sciences in the region and preserve student choice.

Programme of work

- July 2001: Transfer of physics staff and student numbers to Keele
- July 2001: Transfer of physics resource to Keele and decommissioning of nuclear physics facility completed
- September 2001: Library provision and retraining for new science awards completed
- restructuring and refurbishment of engineering laboratories to provide technology centres:
    i. Stage 1 completed by the university during 1998 to 2000.
    ii. Stage 2 completed by September 2001.
    iii. Stage 3 completed by September 2002.
- September 2001: Restructuring and refurbishment completed of physics, chemistry and general science laboratories to provide laboratories for forensic and food sciences, psycho-physiology and human biology.

Project outcomes

In practical terms the project is complete. The outcomes for each of the three key elements are:

a. Engineering laboratories The outcome in engineering and technology has been the creation of a centre of excellence providing innovative education for incorporated engineers and engineering technicians. Engineering courses have been broadened and expanded to make them more accessible and innovative as technology courses. Full-time student numbers on these new technology awards are predicted to increase to 1,200 with potential for further growth. A virtual learning environment has been created for provision of interdisciplinary technology courses across the university campuses and to college partners. The project also supports a new flexible work based MSc in Advanced Technology, using computer assisted delivery to engage with engineering/technology employees in large and small

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companies. Resources have been redirected from an area of declining student numbers with limited potential for development, to inter-disciplinary technologies closely associated with high demand from students and with areas of expansion in the new knowledge based economy. Expensive, underused engineering space has been converted to new technology centres designed for learning and research.

b. Science laboratories in sciences, a range of new inter-disciplinary applied science programmes is now available to students. This is distinctive within the region's provision. New awards in forensic and food sciences will make optimum use of expertise in analytical chemistry. Strengths in biology and laboratory based psychology have been exploited and are linked with new awards developed in human and applied biology with technical, bio-medical and psychological orientations. The science portfolio is now more diversified with less reliance on psychology recruitment. Expensive under-used natural science laboratories have been converted to support new programmes and to exploit the synergy between disciplines for teaching and research.

c. Transfer of physics provision to Keele University The transfer of physics to Keele University has safeguarded regional provision in physics, preserved student choice, strengthened the research and teaching profile in physical sciences at Keele in keeping with Keele University's strategic plan and has facilitated the development of complementary science provision between the two universities

Project code: RCWM08

Merger with Westhill College

Start date	August 1999
Expected completion	October 2003
Duration	Four years, three months
Cost	Total project cost: £6,091,346 HEFCE grant: £2,500,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

a. Through the co-location of staff from the School of Professional & Continuing Education (PaCE) and staff of the former Westhill College to develop a centre of excellence in the provision of education for students from backgrounds currently under-represented at the University of Birmingham, with a view to providing a model of best practice upon which other areas of the university and the sector will draw.

b. To access the support needs of applicants and students from non-traditional backgrounds in preparation, through the Director of Lifelong Learning & Widening Participation, for the involvement of the wider university community in widening participation.

c. Through the development of the existing Westhill site to create a high quality learning and teaching environment which supports the needs of the diverse student population.

d. By creating a single school, under unified leadership, from the University of Birmingham, Westhill, the School of Education and PaCE, to generate critical mass in lifelong learning and the study of best practice in pedagogy.

Programme of work

On 1 August 1999 a strategic alliance was created between the university and Westhill College, with the title 'The University of Birmingham, Westhill'. A joint venture company was set up to govern the alliance and a joint venture agreement to govern associated leases of land and property. Subsequently the university has acquired the Westhill campus in its entirety.

Following the alliance, an academic strategy has been developed between the University of Birmingham, Westhill and the University's School of Professional and Continuing Education. This has resulted in the overall strengthening of the academic portfolios and substantially increased the potential for new developments in this area.

The School of Professional and Continuing Education relocated to the Westhill campus in October 2000. On 1 August 2001 the School of Education, PaCE and University of Birmingham, Westhill combined to form a single School of Education, devoted to education and lifelong learning. The existing head of education was appointed head of the new School of Education. It is envisaged that this will lead to significant developments in the area of CPD/lifelong learning.

Following detailed consultations, investigations and appraisals work is under way on the new teaching centre. This will be linked to the current Orchard Learning Resource Centre. This new facility is designed with flexibility and expandability in mind to allow for the potential expansion of the university through the Selly Oak campus. In addition the teaching centre is being built with consideration to allow alternative teaching techniques in addition to the traditional methods. The teaching centre is expected to be complete in October 2003.

Completion of the teaching centre will mark the end of this initial stage of the development of the Selly Oak campus. The university is now in the process of considering the next stage of the Selly Oak campus development.

Project outcomes

In 2000-01 there was an improvement in student recruitment by 23 per cent to Westhill and additional part-time sub-degree students, especially through the Centre for Lifelong Learning. Additional student numbers have provided income and activity to support the expansion and improvement of learning and other support resources on the new campus. The alliance has placed Westhill on a secure financial footing.

In 1999-2000 and 2000-01, including continuing studies, over 500 additional part-time students were recruited mainly from the Birmingham area, providing opportunities for study that would not otherwise have existed. Westhill has gained the benefit of the university's critical mass in service delivery and the university has benefited from Westhill's experience in recruiting and supporting students from non-traditional backgrounds. Westhill's academic portfolio is widening by taking advantage of the university's spread of expertise, and a research and postgraduate culture at Westhill is also being developed.

Project code: RCWM10

To support restructuring of the academic portfolio

Start date	January 2002
Expected completion	August 2003
Duration	One year, eight months
Cost	Total project cost: £1,965,000 HEFCE grant: £954,000
R&CF criterion	Major changes to academic portfolio
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Aims and objectives

a. To reshape the academic offering at University College Worcester (UCW) through:
    i. Closure of existing undergraduate programmes in biological science and environmental science.
    ii. Redevelopment of four existing science laboratories to provide increased and enhanced facilities for IT programmes.
    iii. Development of two large under-utilised spaces to provide facilities for expansion of interactive media and performing arts programmes.

b. To expand collaborative provision with local FECs, in high-demand, vocationally relevant areas.

c. To support the projected growth in student numbers over the next five years.

Programme of work

- close recruitment in areas noted, by September 2001
- convert two of the former science laboratories rendered redundant by the closure of their academic programmes to IT labs during academic year 2001-02
- convert one of the large spaces to a 200 seat lecture theatre in June to August 2002
- conversion of the former main hall into a digital arts centre in spring and summer 2003
- validate programmes in digital arts
- convert the other two former science labs July/August 2003.

Project outcomes

a. No recruitment took place to the programmes identified for closure in September 2002.

b. Two former science labs converted and 200 seat lecture theatre completed on schedule.

c. Planning for the Digital Arts Centre is well advanced. Academic provision in creative digital media is being prepared in consultation with partner FECs for validation early in 2003.

d. Plans for the conversion of the other two science labs are under development.

Project code: RCWM11

To support the restructuring of the academic portfolio

Start date	April 2002
Expected completion	July/August 2003
Duration	One year, six months
Cost	Total project cost: £760,000 HEFCE grant: £400,000
R&CF criteria	• Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

Newman College submitted a bid to the R&CF to enable achievement of the following aims:

Internally

- to realign the existing two school structure into three schools to enhance the quality and consistency of the student experience
- to create the infrastructure to enable the college to develop and expand HEFCE funded provision in response to identified regional skills needs (while remaining true to the original mission to supply teachers for Catholic and other schools through maintaining Teacher Training Agency funded numbers)
- to develop a portfolio of single honours programmes in subjects which meet regional or national demand and which have community benefit
- to implement the process of redeveloping or phasing out uneconomic subject areas which have limited value in existing joint honours programmes
- to establish significant new areas of work building on the strengths of HEROBC initiated work and on the college's existing links with employers

- to maximise the learning and teaching potential of the campus
- to maximise human resource potential through targeted additional staff development (beyond that identified in, and funded through, the human resources strategy) for staff working on programmes with a limited lifespan
- to increase the pace of change to meet new challenges
- to plan creatively for the college's medium term future in ways which manage risk.

Externally

- to enable an HEI situated in an Objective 2 area of socio economic deprivation to strengthen its commitment to providing high quality, well resourced and attractive higher education to communities who do not traditionally access HE
- to provide a high quality learning and teaching centre as a resource for the wider community
- to develop alliance and collaborative capacity through improving quality, ensuring relevance of provision and increasing the potential for sharing curricula and increasing research capability

Programme of work

The college submitted a successful bid for ASNs for new provision in a diversified portfolio. Provision, existing and planned, was then restructured into three academic schools, each focused on the quality of student experience. The college also planned to develop the infrastructure to meet the needs of these new structures. Existing provision was reviewed to identify potential for collaborative working with a range of partners, specifically to meet the widening participation agenda. Associated development of the estate, of systems and of personnel was undertaken.

Project outcomes

The following outcomes have been achieved:

a. The bid for ASNs was successful for all subjects except sports studies. This has enabled us to open new provision.

b. The schools structure has been realigned and new appointments have been made to lead each of the three schools. Following a review of the administrative function, new school offices have been established and related minor building works completed. Similarly, a review of registry function has led to a consolidation of activity and related minor works.

c. New provision, including BA programmes in drama and psychology and a foundation degree in community and voluntary sector management, has been validated and a range of new programmes has admitted a first cohort this year. Appointments have been made to support the new programmes, including a project manager to lead foundation degree development with appropriate partners. In addition, a reorganisation of accommodation together with the upgrading of learning and teaching facilities has been completed.

d. A new resource allocation model is in development to enable transparency in portfolio review; this has been linked to the costing and pricing initiative and has provided the opportunity for management development at a number of levels.

Future developments

A number of elements of work remain to be completed. These include:

- refurbishment of drama facilities
- further development of programmes in the School of Community and Professional Development
- continued rationalisation of provision to enable the college to build on strengths.

For a small institution, this has constituted major change. The restructuring funding has enabled the college to move forward at a faster pace in response to the opportunities offered by a rapidly changing context for higher education. Through this project almost all elements of our activity have come under scrutiny, have been consolidated and have led to estates development. Small colleges are well placed to support widening participation, where they are already successful, and relatively limited investment can bring about significant change.

Yorkshire and the Humber

Project code: RCYH02

Higher Education Regional Consortium

Start date	1 August 1998
Expected completion	31 July 2001
Duration	Three years
Cost	HEFCE grant £153,800
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

In 1998, Yorkshire Universities (formerly Yorkshire and Humberside Universities Association) was awarded an annual grant of £25,000 from the HEFCE R&CF, renewable for the three years 1998-2001. In order to access the second and third years of funding, Yorkshire Universities was required by HEFCE to produce a business plan indicating proposed activity over the period and demonstrating how Yorkshire Universities would become self-funding at the end of this HEFCE grant.

Outline of business plan

Reference was made in the business plan to a review of Yorkshire Universities undertaken by the vice-chancellors in 1998 in order to develop the association. This established the main purposes of Yorkshire Universities as:

- networking
- promotion and development of policy in the region
- internal collaboration
- projects.

There was an implementation plan for:

- appointing further staff to ensure delivery of the plan
- establishing a company limited by guarantee to handle project funds
- establishing a permanent office base for Yorkshire Universities.

Funding from the HEFCE R&CF was sought in order to provide support for the secretariat activity to underpin networking and to promote and develop HE policy in the region. This was in addition to the funds provided by the institutions themselves via subscription income.

Programme of work

Collaborative projects have continued. The main projects are co-ordinated within the Yorkshire Universities office itself:

- the Higher Level Skills Training Fund project (a £4.7 million European Social Fund project, administered through the Government Office for Yorkshire and the Humber) which was completed in December 2000
- the £2.1 million regional Widening Participation project (funded by HEFCE)
- the £98,000 regional HEROBC enterprise and innovation project in association with Yorkshire Forward (funded by HEFCE, with the member of staff based with Yorkshire Forward (the RDA)
- the £51,000 project (funded by Yorkshire Forward's Skills Development Fund) to undertake further work in the region on the development of higher level skills in support of the regional economic strategy
- the recently-awarded £323,000 HLS for Success project (funded by the new ESF Objective 3 round), which will build capacity for the regional Virtual Business School in support of Yorkshire Forward's Business Birth-Rate Strategy.

Yorkshire Universities continues to formulate and submit bids for additional projects in accordance with its strategic plan. It has recently submitted a £7 million bid for collaborative funding from the new HEIF fund to expand the work begun under the regional HEROBC project with particular reference to Yorkshire Forward's Priority Cluster and Business Birth-Rate Strategies. Yorkshire Universities is also in discussion with Yorkshire Forward over a continuation strategy for the higher level skills work.

Representation of HEIs in the region

Yorkshire Universities is now firmly established as one of the main representative bodies within the region. It is regularly consulted by other regional organisations, on behalf of the member institutions, on major regional policy issues. Close working relations have been established with the Government Office, Yorkshire Forward, and the Regional Chamber and Assembly. For example, Yorkshire Universities is a partner with these bodies in the formation and development of the Regional Intelligence Network, to be known as Yorkshire Futures.

Project outcomes

Overall, the profile of Yorkshire Universities (and therefore of higher education as a whole) within the region has been broadened and improved. The collaboration and co-operation between the institutions fostered by Yorkshire Universities is seen as a significant strength for the region.

The HEFCE R&CF fund has enabled this work to proceed at a faster pace than would otherwise have been the case. It has also signalled to the institutions and to other regional bodies the importance which HEFCE attaches to effective regional collaboration.

HEFCE funding has provided a platform for development of the rolling three-year Yorkshire Universities strategic plan and the associated financial projections. These indicate that, once this funding has ended, Yorkshire Universities will be able to operate an extended range of activities on a self-financing basis. Future Yorkshire Universities' activities will be clearly targeted and focused, and embedded within the activities of the individual HEIs.

Project code: RCYH03

Collaboration with Bradford College

Start date	September 1999
Expected completion	August 2001
Duration	One year, 11 months (phases 1 and 2)
Cost	Total project cost: £373, 150 HEFCE grant: £184,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The University of Bradford and Bradford College have a long-standing history of collaboration. In 1995 this was formalised through the Agreement of Association, which covered key aspects of academic and infrastructure collaboration. In the academic period 1999-2000 HEFCE funded phase 1 of the current collaboration project, which facilitated a wide ranging review of the existing arrangements and identified areas of academic activity and infrastructure which could be developed for possible further collaboration. In 2000-01 HEFCE funded phase 2 of the project, which further developed and implemented a number of projects identified during phase 1.

The overall aim of the project was to further enhance the existing partnership with a view to:

- demonstrating examples of the different models of collaboration
- generating momentum towards collaboration within both institutions, and ideally provide the potential for further spin-off collaborative activities
- rationalising resources across both institutions by collaborative provision in areas of academic activity and infrastructure.

Programme of work

The programme of work for phase 2 is divided into two categories: infrastructure projects and models of academic collaboration.

Building upon the existing relationship between the university and the college, phase 1 of the project aimed to explore opportunities for further collaboration that would benefit the two institutions, their students and the wider community. It created an overview of:

- academic provision and planning
- infrastructure
- governance, management and administration
- institutional arrangements.

Phase 2 focused on three different infrastructure areas with a view to providing a more cost-effective service; improving the quality of provision; and sharing good practice, namely:

- the creation of a single print service across both institutions
- a review of the central student record system
- the establishment of a joint presence or city office within Bradford city centre.

Phase 2 also focused on collaboration in three major areas of academic activity with a view to creating innovative and interdisciplinary courses that it was not possible for either institution to deliver alone:

- joint ownership of new undergraduate programme (BA Hons Applied Criminal Justice Studies)
- joint delivery of new undergraduate courses (including BSc Hons Cosmetic Science; BSc Hons Internet, Law and Society)
- development of curriculum strategy (including part time engineering degrees).

Project outcomes

The project resulted in the following outcomes:

- the creation of a number of innovative programmes of study, drawing on the strengths of the two institutions and leading to increased customer choice
- jointly run, more cost-effective services
- the identification of economies of scale which facilitated the release of funds for investment into core activities of both institutions.

The most important outcome of the project however, was that it created an environment where the two institutions were able to explore their collaborative potential. This served to reinforce their existing relationship and created a shared vision 'Looking Further and Higher'. In turn, this shared vision has led to the college and university investigating different models of collaboration, up to and including merger, through the feasibility study.

Project code: RCYH04

Merger with North Riding College

Start date	January 1999
Expected completion	Merger took place on 1 August 2000. The project was completed by 31 July 2002.
Duration	Three years eight months
Cost	Total project cost: £1,445 million Total HEFCE grant: £1.356 million
R&CF criterion	Major constitutional change, particularly merger
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Aims and objectives

The aim of the project was to secure the future for higher education in Scarborough by merging North Riding College, Scarborough with the University of Hull, ensuring that:

- the position of existing students and students due to enter the college in 1999 is fully safeguarded
- the needs of the North Riding of Yorkshire, and the wider region, for higher education and teacher training are satisfied through sustainable long-term programmes
- the range of higher education offered in Scarborough is broadened
- provision for lifelong learning is developed
- academic programmes offered to existing and new students are of the highest possible quality.

The project had the following principles:

- merger must yield added value for all stakeholders
- merger is a process and not an event
- the benefits of merger must be bi-lateral
- merger must make an important contribution to the university's regional strategy
- the merged institution must deliver opportunities for lifelong learning
- organisational structures are a means to an end, not an end in themselves
- academic planning is fundamental to integration

- a distinctive academic provision is created in Scarborough
- programmes offered at the Scarborough campus will be appropriate to the setting and character of the town
- staff and students at the Scarborough campus must identify themselves with the university
- all university staff will be helped to attain their full potential.

Programme of work

A project implementation group was established in July 1998. The group undertook due diligence and other investigative work in order to make a recommendation on merger to the university council. On 18 March 1999 the university council agreed to proceed towards merger with North Riding College in full.

A merger implementation group (MIG), supported by a merger project officer, was established in May 1999 and concluded its business (handing over to university officers) in November 2001. Its five sub-groups (academic planning, academic services, finance and resources, personnel, and student services) have similarly concluded their business.

Merger was achieved on 1 August 2000.

Project outcomes

The outcomes of the project as stated in the original submission have been achieved. New posts have been filled and continue to support the full integration of the Scarborough and Hull campuses. Systems mergers are complete. New programmes have been launched and continue to recruit successfully at undergraduate and postgraduate level. Development of the campus continues within the context of the university's overall mission and strategy, particularly in relation to its regional policy.

Project code: RCYH06

Support for the transfer of chemistry from Lancaster University to the University of Sheffield

Start date	January 2000
Expected completion	December 2001
Duration	12 months
Cost	Total project cost: £2,450,000 HEFCE grant: £612,500
R&CF criteria	• Collaborative arrangements between higher education institutio • Structural realignments within institutions
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Aims and objectives

The primary objective was to relocate the highly rated polymer chemistry research group from Lancaster University to the Chemistry Department in the University of Sheffield.

The aim was to support the University of Sheffield in meeting the costs of providing appropriate accommodation to receive transferring staff and to support the integration of the polymer group through the refurbishment of existing laboratory and office space. Relocation of this research group complements the existing research clusters in the Chemistry Department and will lead to opportunities for collaborative research in areas identified for growth by the university.

Programme of work

- refurbishment to expand and modernise research laboratory facilities to provide facilities for staff, researchers and students transferring from Lancaster and to improve teaching laboratories to cater for additional student numbers
- transfer of seven academic staff contracts from Lancaster to Sheffield in March 2000,the physical transfer of all staff and equipment was completed in November 2000
- transfer of contracts of seven research staff to Sheffield in October 2000 along with the registration of six postgraduate research students and the research grants associated with the transferring staff
- transfer by Lancaster of the relevant proportion of quality-related research funding associated with the transferring staff to Sheffield
- adjustment to the MaSN for Sheffield and an increase of 100 funded FTEs to enable expansion of undergraduate teaching in chemistry
- transfer of existing equipment from Lancaster to Sheffield essential to the work of the polymer group.

Project outcomes

Refurbishment works began in August 2000 providing high quality teaching, research and office space, and consequently higher levels of space utilisation have been achieved.

Assistance with the cost of the laboratory refurbishment has allowed transferring staff to maintain a high level of research in newly refurbished laboratories, and has extended facilities for final year students and research postgraduate students.

The transfer of staff, now fully integrated into the Department of Chemistry, has helped to establish Sheffield as a major polymer research centre in the UK. The polymer centre (see www.polymercentre.org.uk), based in the department, embraces topics at the forefront of polymer science and engineering and the application of polymers in many new areas – from batteries to visual displays, molecular machines to aircraft wings, and genetic engineering to tissue replacement. The centre brings together more than 150 academics, research associates and research students at the University of Sheffield.

The transfer has enabled the department to further strengthen its research output in materials chemistry. The four major research themes are biomaterials, responsive materials, improved commodities and fundamental material science, and important interdisciplinary collaborations with physics (electro-luminescent polymers, food processing, adhesives and molecular machines), chemical engineering (crystallisation during processing), mechanical engineering (smart materials), engineering materials (photo-voltaics) and medicine (synthetic skin) are in place with research funding from EPSRC, DTI-Link, BBSRC, EU and industry.

The transfer of staff has significantly benefited students studying chemistry at Sheffield by increasing the choice of topics available for final year projects and introducing new teaching activities. A new 12 month full-time MSc course in Polymers for Advanced Technologies will be introduced from 2003, which stems directly from the research cited above, covering polymer science and engineering allied to a wide range of applications.

The project has enhanced chemistry in Sheffield to the overall benefit of the subject nationally and allowed resource re-allocation to strengthen departments contributing to the environmental thematic research focus at Lancaster.

Project code: RCYH08/L

Merger with Bretton Hall College

Start date	January 2000
Completion	The formal merger took place in August 2001; restructuring and development will continue until November 2002
Duration	Three years
Cost	Total project cost: £9.2 million HEFCE grant: £7,350 million grant, Repayable grant £3 million
R&CF criterion	Major constitutional change, particularly merger
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Aims and objectives

The aim of the project was to support the merger of the former Bretton Hall College with the University of Leeds. The main purpose of the merger was to develop and sustain, were possible, the provision previously offered at the college by integrating it with the provision offered at the university. Additionally the merger enabled the university's resources to be offered across the region, and more specifically within the sub-region.

The merger was led by an academic vision underpinned by the following objectives:

- expansion of the 'arts' provision of the University of Leeds
- expansion of postgraduate and undergraduate education programmes
- development of the design aspect of the School of Textiles at Leeds

- development of continuing education in the region through the Wakefield Campus
- support of the university's regional agenda to promote wider participation
- expansion of the university's student numbers, in addition to those transferring from Bretton Hall College
- creation of a new School of Performance and Cultural Industries as the centre for excellence in the performing arts in the region
- long term viability and better utilisation of the college's estate.

The key areas addressed by the project included:

a. Curriculum development: providing a broader and stronger portfolio of programmes in the subjects which the university and the college had in common, creating greater opportunities for access and progression for students.

b. Staffing: restructuring and redeployment of staff further strengthened key areas.

c. Estates: reorganising, rationalising and consolidating aspects of Bretton Hall and University of Leeds estates; refurbishing key areas to provide high quality teaching accommodation; and undertaking some new build to accommodate increases in student numbers.

d. Finance: extensive work was undertaken to stabilise and tackle financial and management issues at the college, which was completed when the college was integrated into the university on 1 August 2001.

Project outcomes

The merger of the former Bretton Hall College with the University of Leeds was legally effected from 1 August 2001 and the merger vision was fulfilled by achieving the following aims:

- music, visual and performing arts provision at the University of Leeds has been developed and expanded
- the Leeds based School of Education has expanded and offers new undergraduate programmes
- the design aspect of the School of Textiles and Design at Leeds has been strengthened and expanded
- continuing education has been given a base in Wakefield
- additional students have been recruited
- new programmes have been developed across a range of disciplines
- all of the financial projections contained in the financial model have been achieved
- HR processes have been fully integrated, and former Bretton Hall College staff inducted and trained
- systems and infrastructure are now in place to allow the Bretton Hall campus to function as part of the University of Leeds

- delivery of the capital programme within time and within budget
- support services have been integrated and are now managed from Leeds
- the former Bretton Hall College was dissolved as a separate legal entity and its assets and liabilities transferred to the University of Leeds.

Project code: RCYH09

Improve the library and information support for law researchers in the UK HE community

Start date	2 January 2001
Expected	28 February 2003
Duration	Two years, two months
Cost	Total project cost: £160,000 HEFCE grant: £160,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The project's aim is to improve library and information support for law researchers in the UK higher education community by exploring alternative methods of information support and delivery, principally using web technology. Using the Yorkshire and Humberside academic community, with their history of collaboration through Yorkshire Universities, as a test site, the project will establish models of co-operation and analyse the cost of collaboration between law libraries. This regional model will examine the concepts and issues involved in developing and sharing collections both regionally and across sectors, and will develop policies for the development of a national collaborative framework across the legal education community.

Programme of work

Three main areas of law library collaboration will be explored:

a. Academic collaboration includes assessment of the region's academic legal collections and resources, and its user needs; and examination of the issues involved in a regional document delivery service.

b. Cross-sectoral collaboration issues will be examined initially using a pilot project in Sheffield, involving academic, public and commercial law resources and expertise. The concepts involved include making available cross-sectoral legal resources by electronic means and examining the associated funding and access issues.

c. Collaboration with information suppliers will enable assessment of the possible benefits of academic consortial purchase of on-line services and a comparison of these results by examining the potential customisation and development of a specific search, retrieve and document delivery tool for legal researchers.

Project outcomes

Four key deliverables have been identified, to be developed using information generated from the project in the Yorkshire and Humberside area as well as feedback from focus groups:

a. A web-based national legal information gateway, offering value-added services including document delivery, a virtual enquiry service, access to a range of electronic services and web-based legal information skills tuition.

b. A policy of regional development to identify 'centres of excellence' and collection development collaboration, including a document delivery service and an access policy.

c. A policy of regional cross-sectoral resource sharing, which will operate as a cost-recovery service between academic, public and commercial law firms, using the pilot site in Sheffield.

d. Results of an investigation into consortial purchase and user-led customisation of an electronic legal information resource for the UK higher education market.

To date CASE – Law Library Collaboration in Yorkshire and Humberside has:

a. Developed a searchable, web-based national legal information gateway as detailed above, at http://case.leeds.ac.uk, including online law database tutorials, the CASE catalogue and collections descriptions database (see below).

b. Piloted two document delivery services. The first is a reciprocal service between the seven CASE partner institutions. Documents are requested and delivered using the ARIEL software from the Research Libraries Group (RLG). The second is a trial of the British Library's Inside service. The Inside service has been evaluated with users, and the reciprocal service will be evaluated at the end of its trial.

c. Produced a catalogue of the holdings of statutes, encyclopaedias, law reports and journals at the seven CASE partner institutions.

d. Produced a database of descriptions of the law collections at the CASE partner institutions. The database can be searched to find the number of textbooks, law reports or journals in a particular subject area.

e. Started investigations into regional cross-sectoral collaboration and regional collection development.

f. Investigated the feasibility of consortial purchase of electronic information products and arranged a consortial discount on Cavendish e-Books. The service is currently being trialled in four of the CASE partner institutions.

g. Created an archive of information skills materials produced at the CASE partner institutions. The materials in the archive can be used by the partner institutions in their own training, with credit given to the originator of the material.

Project code: RCYH12

Support for the development of a new learning centre

Start date	Design process August 2000 Construction April 2002
Expected completion	June 2003
Duration	Overall process three years Construction 15 months
Cost	Total project cost: £9.875 million HEFCE grant: £3.4 million
R&CF criteria	• Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector • Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

Aims

- the construction of a learning centre on the Lord Mayor's Walk campus, to be a significant agent of change both within the college and among its partners and to provide a focus for achieving the objectives set out in the college's learning and teaching strategy.

Objectives

- to widen access
- to encourage new modes of learning
- to provide a supportive and flexible, high quality and fit for purpose learning environment
- to exploit the capabilities of ICT to the full in support of networked learning
- to provide a community resource contributing to local and sub-regional collaboration with other HE providers.

Programme of work

Dates /activity

• April 2000	Submitted formal offer to City of York Council to acquire the adjacent coach and lorry park site, following initial negotiations
• July 2000	Appointed professional team to prepare detailed planning application

- July 2000 Prepared detailed planning application, commence initial planning negotiations and continue acquisition negotiations
- July 2000 Commenced OJEC appointment of detailed design team
- November 2000 Site acquisition process completed with City of York Council
- November 2000 Submitted detailed planning application
- January 2001 Appointed professional detailed design team under OJEC procedures
- May 2001 Obtained detailed planning consent for the learning centre
- March 2001 Contract collation for the acquisition of the adjacent City of York Council site
- July 2001 Commenced design and build contractor selection under OJEC procedures
- October 2001 Professional detailed design team complete detailed design, production information and tender documentation
- January 2002 Obtained possession of coach and lorry park site from City of York Council
- February 2002 Appointed design, manage and build contractor
- April 2002 Commenced construction
- June 2003 Practical completion
- August 2003 Complete migration – building operational.

Project outcomes

This project will address a number of key issues for the sector:

- as a model for cultural and curriculum change
- integration of ICT into the curriculum and management of student learning
- the redefinition of academic and academic support staff roles
- an exemplar of local/sub regional partnership for a collaborative HE strategy
- development of the learning centre as a local/sub regional resource
- as a development model for 'small – medium' HE institutions
- as a model for addressing resource issues.

The college intends to disseminate information about its experience of the implementation process and the achievement of the project outcomes through a series of targeted events including a conference, seminars, and publications. Potential audiences would include members of SCOP, the Confederation of Church College and Universities (CCCU), the Society of Colleges, National and University Libraries, and the Universities and Colleges Information Systems Association, and via LTSN. A case will be made for an action research project (or series of projects) to study the management and impacts of strategic transformation.

Project code: RCYH13

Support for collaboration project between the University of York, College of Ripon and York St John and York College

Start date	January 2002
Expected completion	31 December 2003
Duration	Two years
Cost	Total cost project: not yet known HEFCE grant: £100,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The collaboration project in York now referred to as 'Higher York' involves four partner FE/HE institutions and the City of York Council. Askham Bryan College became a signatory to the Statement of Collaboration with The University of York, York College, and York St John College on 26 September 2002. Meetings have also been held with representatives from the Open University, who have been invited to become representative on the Strategic Planning Group.

- identify potential areas for specific collaboration in the context of national, regional and sub-regional agendas
- implement substantive projects within key areas
- pilot and evaluate collaborative activity and value-added projects undertaken across the identified range of areas for collaboration
- evaluate robustly the project with a view to identifying learning points of particular value to the HE sector in general
- review existing models of managing local HE collaboration and develop a best practice model and implementation strategy related to the needs and opportunities for future HE development in York and North Yorkshire. That is, develop through active collaboration, a 'best fit' model of inter-institutional partnership across the four HE providers.

Programme of work

Stage one January 2002

- appointment of Collaboration Project Manager (CPM)
- establishment of Joint Strategic Planning Group (JSPG)

- meetings between CPM and key strategic and operational staff in partner institutions

Stage two February 2002

- establishment of substantive project working groups in:
    i. Marketing and Communications.
    ii. Staff Development and Training.
    iii. Equality Diversity and Inclusivity.
    iv. Academic collaboration in Art, Design and the Creative Industries.
    v. Business and Management.

Stage three March -June 200

- audit current and planned future activity
- create brand identity for collaboration project (Higher York)
- plan launch event
- discuss/negotiate organisational and management structures
- negotiate statement of collaboration and membership of Askham Bryan College
- six month evaluation report to HEFCE

Stage four July 2002

- present working group remits and action plans to JSPG
- discuss and develop vision and mission for Higher York

Stage five September-December 2002

- launch Higher York (26 September)
- signing of Statement of Collaboration
- Higher York vision, mission and benefits in public domain
- City of York Council join collaboration project on CEO and senior management groups
- implementation of revised operational and management structures
- establish substantive project working groups for:
    i. Systems Development.
    ii. Student Support Services.
- preparation and submission of validation for BA (Hons) Graphic Design
- planning and development for collaborative Art, Design and Creative Industries Institute

Stage six December 2002

- evaluation of Year 1 progress
- update/amend substantive working group remits and action plans

Stage seven January 2003

- evaluation report for HEFCE presented to Higher York Board and Strategic Planning Committee for approval
- negotiation, approval and confirmation of collaboration project activities for year 2.

Project outcomes

a. Substantive pilots in developing cost-effective delivery across the partner institutions in the areas of academic support and professional services. The project will focus on six key areas: marketing, staff development, student/learner support, learning resources, finance and personnel. Each area will be mapped across the institutions to identify best practice, areas of specialist expertise, opportunities to co-ordinate procedures, staffing and strategic development/leadership around a 'best-value' model. Such a model will seek to identify achievable economies of scale and function, which will free up resources for further investment in the core business of the institutions.

b. Market-focused curriculum development in areas such as art, design and the creative industries, health, business and management, Early Years.

c. Greater cooperation and collaboration in key areas, such as widening participation, Partnerships for Progression, lifelong learning and HEROBC.

d. Integrated approaches to new bidding opportunities.

e. Shared staff and organisational development initiatives leading to an enhancement of the 'academic' capital within the city.

f. Integrated contribution to regeneration initiatives within York and North Yorkshire.

g. Evaluate models for the management of collaboration, which recognises the spectrum from full merger through federal models to 'warm words', but which seeks to develop innovative approaches to meeting the multiple agendas of the new HE through effective collaboration across institutions which recognises the distinctive and robust missions of each institution.

h. Assess the benefits of a variety of models of closer working – from simple sharing of information to full merger of services.

Project code: RCYH14

Support for restructuring of the academic portfolio

Start date	Building work commenced August 2001
Expected completion	July 2003
Duration	Two years
Cost	Total project cost: £17 million HEFCE grant: £3 million
R&CF criteria	• Major changes to academic portfolio • Structural realignments within institutions
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Aims and objectives

The twin focus of this project is informatics and engineering – two areas that are experiencing rapid shifts in demand and changes in the nature of curriculum delivery. It both reflects and anticipates key factors, notably changes in demand for subject provision, the desire to be become more sensitive to regional and national skills needs, the imperative to achieve more sustainable staffing levels, and the requirement to make most cost-effective use of both staff and capital resources.

The final stages of the programme of re-profiling are essentially capital-led and focus on the need to create a physical footprint that, underpins the new academic profile in a way that will deliver real benefits to students and the region. They focus on two linked buildings, Horton and Chesham. The new facilities will be attractive, and multi-purpose, enabling a flexible response to meet the needs of a variety of users. It will enable a step-change through which all schools will be better placed to respond effectively to the fulfilment of the three core activities – teaching and learning, research and application, and business and community agendas. At the same time, the Disability Discrimination Act and environmental concerns are being addressed.

Programme of work

The overall project contained the usual inherent problems of moving schools, staff and student activities while still maintaining an academic programme. The complexity of this project was compounded due to the fact that the university has no available decant space and it was therefore, essential to break the major project into small portions which could be undertaken consecutively. This allowed staff and students to continue working with minimal disruption. Despite these constraints the work proceeded smoothly and will be completed ahead of schedule.

The main project stages were:

- alterations to the Chesham Building to allow the School of Engineering to vacate space in the Phoenix Building
- reconfiguration of space in Phoenix Building for other schools to vacate space in Horton Building
- reconfiguration of space in Horton Building for the School of Informatics
- the total area involved covered some 25,8216m^2 with costs equating to app. £274/m^2.

Because of the challenges that the projects presented, and the need for maximum flexibility form the contractors involved in the projects, it was decided to engage the contractors on a partnering basis. This has proved successful with almost all projects being complete on time and to budget.

Project outcomes

Progress/interim outcomes for projects under way but not yet completed

The project is approaching completion in physical terms and has significantly aided in the reorganisation of the School of Engineering, Design and Technology from the formerly multi-departmental School of Engineering. There have been substantial reductions in academic and support staff, and a reduction in allocated space. A focus upon design is now present in a growing number of undergraduate courses, while other longer established courses have ceased to be offered. Students in both schools have access to greatly improved facilities as a result of the project.

Academic links between the School of Engineering, Design and Technology and the now-contiguous School of Informatics are also growing. As part of an overall research strategy, a joint submission to the RAE was made from both schools to the computing unit of assessment. Student numbers at both undergraduate and postgraduate level continue to grow rapidly in informatics, assisted by the up-graded and co-located facilities provided by this project. Both schools have strong and growing links with the business community.

Overall, the university is now in well-advanced preparations for a merger with the neighbouring Bradford College, and a new internal structure is planned. This work will have made a major contribution to enabling that reorganisation to take place. Within the new structures the Schools of Informatics and Engineering, Design and Technology will form part of a single new faculty. Academic and curriculum links between these areas and cognate disciplines at both HE and FE level at Bradford College have been greatly facilitated by this project.

Lessons learned and issues raised

In response to the HEFCE report on the control of expenditure on capital projects (it being critical of the failure of the sector in many cases to effectively contain costs on major projects), the university elected to establish a project group with the sole remit of managing the total programme of work over the past three years. The Campus Reconfiguration Project Group met as frequently as necessary (initially weekly) to assess the merits of all client-sponsored projects in financial, strategic and academic terms. This process proved successful in tempering the aspirations of the schools concerned, and ensured that we will complete the programme of works on time and on budget.

Project code: RCYH15

Support for the rationalisation of HE provision in Hull

Start date	September 2001
Expected completion	September 2004
Duration	Three years
Cost	Total project cost: £5 million HEFCE grant: £2.5 million
R&CF criteria	• Collaborative arrangements between higher education Institutions • Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector

	• Structural realignments within institutions
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Aims and objectives

- to undertake a programme of rationalisation which will provide a sustainable basis for HE provision in Hull and Lincoln
- to improve the profile, quantum and quality of higher education available in our city locations and respective sub-regions
- to ensure productive collaboration between providers, with close involvement in the planning of progression routes as well as the delivery of appropriate HE provision by the major FE providers in the Hull area
- to focus on the needs of the learner and the enhancement of the student experience
- to maintain and develop HE capacity within the city of Hull and its sub-region, with clear statements of the role of each partner
- to sustain and develop capacity through joint planning and mutually reinforcing action.

Programme of work

A joint planning group has been established to oversee the project, which meets at least three times per session. Members include senior representatives of the two universities and Hull College. The three partners have agreed a memorandum of understanding, initially valid for five years, which identifies key areas for collaboration. Key elements of the two universities' strategies are:

University of Lincoln

- to move aspects of the work at Cottingham Road into Hull City Centre – including elements of computing, business and social work – thereby strengthening the academic profile in Hull City Centre while enabling planned growth in the academic profile of Lincoln City Campus
- to remove, and scale down, the competition with Hull University. To improve the quantum and quality of higher education provision in the city and hinterland of Hull.

University of Hull

- to generate organic growth through increased student recruitment and enhanced research effort, by building on strengths and developing new synergies, while eliminating weaknesses

- to undertake significant expansion of focused activity in high-quality teaching and research, utilising the newly acquired site, with staff restructuring and enhancement of a high-performance culture
- through the acquisition of the University of Lincoln's Cottingham Road campus, to enable the necessary infrastructure support to be developed more cost-effectively than the alternative options of 'new build' or further space rationalisation on the university's existing site.

Project outcomes

- development of a tripartite framework for the development of HE in Hull by the University of Hull, University of Lincoln and Hull College
- maintenance, and selective improvement, of the broad provision of HE in Hull
- collaboration between the above partners, and a broader consortium of FE colleges in the Humber sub-region, substantially to increase HE capacity in FE
- enhanced co-ordination of widening participation for HE and FE in the Humber sub-region
- a model of HE/FE collaboration to rationalise provision in an over-crowded urban context, which is replicable elsewhere in the country.

Development of the tripartite framework focused initially on ensuring continued wide subject coverage and avoiding competition in the sub-region. Institutional strategies, especially in the area of widening participation, are shared and have led to a city-wide strategy including Local Learning Partnerships and the Learning and Skills Council. Information is shared on the development of foundation degrees and validation initiatives for local FE providers, notably including Bishop Burton College, whose programmes are now largely validated by the University of Hull. The three partners are prominent in the Partnerships for Progression business planning process for the sub-region, which is led by the University of Hull. The development of newer progression routes for learners in the Humber Region is pursued through the Humber FE/HE Consortium (led by Hull College) and through both tripartite and bilateral discussions. A joint marketing programme has been launched by the three partners.

The purchase of the University of Lincoln's Cottingham Road site by the University of Hull was completed in April 2002, with temporary leaseback allowing the University of Lincoln to complete planned programme delivery on the site. The University of Hull's East Riding campus, owned by the NHS, will be vacated by March 2003, and all nursing programmes are delivered at Cottingham Road from 2002-03. The phased transfer of buildings is proceeding to plan, and plans for sole occupancy of the site by the University of Hull from August 2003, including space for the new Hull York Medical School, are in place.

Project code: RCYH16

Support for re-structuring the Consortium for Post-Compulsory Education and Training

Start date	March 2002
Expected completion	August 31 2004
Duration	Two years, six months

Cost	Total project cost: £1,576,500 HEFCE grant: £800,000
R&CF criteria	• Collaborative arrangements between higher education institutions • Institutional restructuring with sufficiently innovative aspects to be of general benefit to the sector
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Aims and objectives

Aim: the project is designed to re-structure an established collaborative arrangement through innovative use of an ICT-based managed learning environment. It will establish a managed learning environment (MLE) that embraces over 30 institutions from both the FE and HE sectors.

The Consortium for Post-Compulsory Education and Training (CPCET) is a collaborative partnership involving two HEIs and 31 FE colleges which traces its origins to 1966. It delivers awards of the University of Huddersfield for professional development among staff from the post-16 sector of education and training. In 2001-02 there were over 2,000 in-service students across the north of England on CPCET courses. The project therefore concerns innovative applications of ICT in a large, dispersed and complex partnership.

Objectives

a. To transform the students' learning experience through a universal threshold of provision that includes an extended range of services (for example, asynchronous discussion boards for widely dispersed students who share particular teaching specialisms).

b. To develop and adopt common and/or co-ordinated operating systems which minimise duplication, discrepancies and delays in communication and provision. These will relate to: student learning, student management and quality assurance/enhancement.

c. To train and support academic and administrative staff in acquiring the skills necessary to operate new structures and systems that support an elaborate collaborative venture.

d. To upgrade the equipment of members of the consortium with means of facilitating an efficiently managed learning environment and enhanced communication capabilities.

e. To systematically and rigorously evaluate the means that have been adopted to maximise the efficiency, transparency and effectiveness of arrangements supporting the consortium and its students.

Programme of work

Initial/preparatory phase

- identifying and auditing current technical and skills capabilities among CPCET partners
- surveying current practice and forging links with relevant developmental initiatives
- specifying technical, legal, access and pedagogic parameters for materials generated through the project.

Trial/implementation phase

- extending uses of Blackboard (for example, re asynchronous, subject specialist discussion boards)
- adopting and integrating web-based platforms for student management and support (for example, 'one-stop' access to student records/finance/library/learning materials repository)
- managing programmes via a shared, real-time database; automated communication and monitoring processes; and on-line procedures (applications/payments/enrolment /credit accumulation and so on)
- introducing video-based procedures (assessment/moderation/professional development).

Dissemination/evaluation

- training of staff in centres
- monitoring use and student experience of on-line learning and support
- review of systems enhancements, learning materials and practices and of 'culture shift' among both staff and students.

Project outcomes

- an operational model of a cross-sector and cross-institutional MLE
- collaborative curriculum and materials development processes involving geographically dispersed partners
- development of web-based means of minimising difficulties of inter-operability in collaborative arrangements for delivering programmes through diverse and dispersed partners
- examples of innovative applications of ICT to the sharing and shaping of learning materials
- a positive experience of diverse and innovative uses of ICT for supporting learners and learning in HE for annual cohorts of newly qualified teachers and trainers in post-compulsory education and training
- evaluation of means of promoting a 'culture shift' among professionals engaged in education and training.

Project code: RCYH17

Development of a consortia pilot

Start date	March 2001
Expected completion	December 2002
Duration	One year, 10 months
Cost	Total project cost: £25,000 HEFCE grant: £25,000
R&CF criterion	Collaborative arrangements between further and higher education institutions
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Aims and objectives

Overall aims:

- to explore the mechanisms and processes by which the Humber FE/HE Consortium could strengthen its capacity for collaborative response to the widening participation and skills agenda in the Humber sub-region
- to further clarify the role of the consortium with respect to other existing and emergent partnerships by sharpening the focus and identity of the consortium and confirming this retains the support of members

Objectives:

- to research and compare management, financial and operational arrangements in this and other consortia, leading to recommendations of the 'best fit' for the Humber
- to review how far the consortium is meeting its stated aims of widening participation and meeting local labour market and skills shortage needs
- to assess the level of commitment to the continuation and further development of the consortium
- to begin the process of effective promotion of the consortium as a partnership and distinctive entity within the sub-region.

Programme of work

- tendering and selection process for the appointment of consultant, including drawing up specification for consultancy and selection criteria for appointment

- appointment of marketing company to develop collective promotional material for the consortium, including logo design
- the commissioning of a consortium web page to facilitate the future development of web-based learning for consortium students and exchange of professional expertise among consortium staff

Project outcomes

Consultant's report submitted to consortium members in July 2002. This has produced a range of practical suggestions for further development as well as highlighting where the consortium has fallen short of its stated mission and needs further development. The report has received broad acceptance and work is continuing with senior representatives in partner institutions (the principals in the case of the college partners) to further clarify and shape the future direction of the consortium.

The consortium has a logo and leaflet which collectively promotes the colleges and HEIs in the region by identifying their delivery capacity and reputation for quality. This is regarded by members as a positive first step in collective marketing and a more detailed and targeted campaign is being taken forward by the newly formed Humber HE Executive Committee. The logo has been widely used by all college partners and is used to brand quality assurance materials which have been collectively developed by all partners, as well as being used in marketing activities.

The web-site 'portal' is established but has not been taken beyond this stage because of a variety of factors, not the least being the multiplicity of platforms and ICT strategies within the sub-region. The partners' view this development as creating huge potential for the learner but it is unlikely to be realised in the short term without further funds dedicated for that purpose.

National

Project code: RCNA01

Contribution to ILT setting up costs

Start date	September 1998
Expected completion	Funding from HEFCE until July 2003; then the institute is expected to become self-funding
Duration	HEFCE funding of ILTHE from 1998-99 to 2002-03 inclusive
Cost	HEFCE grant: £1,758,430
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The Institute for Learning and Teaching in Higher Education (ILTHE) has been established with the support of all the UK funding bodies. It aims to: enhance the status of teaching in higher education; improve the quality of learning; support innovation in higher education; and set standards of good professional practice for its members.

Programme of work

The areas of activity in which the ILTHE is involved include:

- accreditation of institutional courses and programmes of staff development
- creation of direct routes to membership of the ILTHE through application by individuals
- development of a programme of CPD for ILTHE members to allow them to demonstrate that they remain in good standing with the institute
- provision of targeted and useful information, educational materials and services to ILTHE members.

Project outcomes

a. Accreditation of institutional courses and/or programmes of staff development: The ILTHE has established an accreditation scheme for programmes of staff development in HE teaching in HEIs. Accreditation of an HEI's programme provides successful students of the programme with a direct route to ILTHE membership. To date, 133 programmes within 107 HEIs have been accredited, and a further 15 new accreditation applications are in progress, with a further 16 applications for re-accreditation under way.

b. Creation of direct routes to ILTHE membership for individuals: Applications for membership can be made by individuals through direct application to the ILTHE. As at end October 2002, total number of applications received through the 'initial entry route' was 10,404. A new Individual Entry Route for Experienced Staff was introduced from 1 August 2002.

c. Attraction of a substantial section of the academic and learning support community to membership: As at end October 2002, the total membership stood at 14,299. Associateship was launched in April 2001. To date 109 Associates have been accepted with 20 programmes accredited as routes into associateship of the ILTHE.

d. Development of a CPD framework for ILTHE members: Following a consultation exercise in 2000, a pilot CPD has been implemented. This has resulted in a proposed structure and content for a CPD Framework which has been well received. Attention has also been given to ways in which the Framework can have an impact on HEI human resource and learning and teaching strategies, personal development and review/appraisal systems including their ethos and underlying values. Fourteen HEIs have been involved in the project, together with around 50 individual members of the ILT. A further phase is under way, focusing on implementation issues.

e. Provision of information, educational materials and services to ILTHE members: A range of services has been introduced for ILTHE members:

  - 24 regional or special interest Members' Forums were held during 2001-02, with a further 23 planned for 2002-03
  - the first four titles in the ILTHE/THES series Effective Learning and Teaching have been published. A newsletter and international refereed journal is produced three times per year
  - small grants are available to members to facilitate networking, travel, publications and other activities
  - the Members' Resource Area (MRA) of the ILTHE website, accessible only to Members, is updated fortnightly with new articles
  - ILTAC2002, the third Annual Conference attracted over 350 UK and international delegates and offered over 150 hours of workshops, discussions and keynotes in July 2002
  - an annual symposium is held to coincide with the Annual General Meeting
  - the ILTA Guide to learning, teaching and assessment for those new to teaching, published by the ILTHE, is available free to ILTHE Associates.

f. Initiation of a programme of research promotion and dissemination: Original articles from key researchers have been commissioned for dissemination via the MRA. The outcomes of various areas of research have been disseminated via the ILTHE annual conference, Members' Forums and ILTHE publications, especially the ILTHE Journal, Active Learning in Higher Education. Work is being undertaken with partner organisations to develop a Learning and Teaching Portal for UK Further and Higher Education. Small scale focus groups have been established to discuss matters of interest to members.

g. Hosting the LTSN Executive and Generic Centre, JISC Technologies Centre and TechDis Service: Following the UK-wide launch of the LTSN programme in January 2000, with the establishment of 24 subject centres in UK HE institutions, the LTSN Executive was established and co-located with the ILTHE in April 2000. The LTSN Generic Centre, established in September 2000, and the JISC-funded Technologies Centre (September 2000) and TechDis Service (February 2001) are all also co-located with the ILTHE.

h. Managing the National Teaching Fellowship Scheme (NTFS): The ILTHE has been asked to manage the NTFS Scheme for a fourth year.

Project code: RCNA02

To facilitate a collaborative network between the church colleges

Start date	1 January 2000
Expected completion	31 December 2002
Duration	Three years
Cost	Total project cost: £75,000 HEFCE grant: £75,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

To facilitate a collaborative network between the church colleges; increasing their ability to respond to relevant policy matters and work together to enhance the quality of their work, especially in areas relating to mission, ethos and distinctiveness.

Programme of work

a. Following a second national conference in September 2001 that resulted in a statement of intent to pursue the development of a Confederation of Church Colleges and Universities (CCCU), the chief executives of the church colleges are committed to meet six times between September 2002 and March 2003. The meetings will promote the interests of the confederation; initiate projects for inclusion in the portfolio of activities engaged in by the confederation; and monitor the progress of projects undertaken as part of the confederation.

b. Networks of heads of theology; CPD co-ordinators; international officers; and chaplains of the church colleges have been established. These groups meet regularly to share good practice and to initiate collaborative activities between church colleges and universities. These meetings are attended by the development officer who liaises between the networks and the chief executives of the member institutions. Each of these groups has produced its own agenda for collaboration.

c. A directory of resources, services and projects is being prepared which will act as a consultancy bank for sharing information. Information will include a directory of key staff in each of the institutions; human resources expertise particularly in the areas of drafting policies and statutory documents; experience in areas such as degree awarding powers and Investors in People; information on academic programmes run by each institution; and collaborative projects which are being undertaken within the confederation.

d. A publication outlining the current work of the theology and religious studies departments in church colleges, and the aspirations of the colleges in these areas is being prepared for publication in 2003.

e. The development officer has undertaken an initial analysis of the growth plans of the individual colleges for the next four years. A further study of regional cover of the confederation is being undertaken to ascertain how this maps with areas targeted as high priority for the widening of participation in higher education and how the confederation relates to the pattern of Anglican and Catholic dioceses.

f. Following the success of the collaborative Foundation Degree for Classroom Assistants, plans to bid for funds for further collaborative foundation degrees are under discussion.

Project outcomes

a. The report of the development officer on his interviews with heads of church colleges was circulated in June 2000.

b. A national conference was organised at Canterbury in September 2000 with over 80 delegates from church colleges and universities. The conference report was published in November 2000.

c. A web-site was launched in March 2001. The site at www.churcholleges.org provides information about the work of the CCCU, notice of events and publications, news from all the member colleges and links to all members as well as to other related church and higher education sites.

d. In July 2001, a successful bid for £98,500 was made through the HEFCE R&CF to support the development of Foundation Degree for Classroom Assistants in 2001-02. Five colleges are involved, with Canterbury Christ Church University College as the lead institution.

e. A second national conference, Collaboration for Distinctiveness, was held in September 2001. The conference was attended by principals, chairs of governors, heads of theology and heads of education in the church colleges. This conference led to the St Mary's Declaration – a statement of intention to pursue the development of collaboration through a confederation of church colleges and universities. In addition, the conference led to the formation of a theology network group and an education network group which will pursue collaborative church college ventures. The proceedings of the conference were published in November 2001.

f. A fringe meeting on the work of the church colleges was held on 15 November 2001 following the General Synod discussion on the 'The Way Ahead' report on the future of church schools. Contributions were made from Lord Dearing and from principals and governors of church colleges. The church colleges also had a stand drawing attention to their work which was displayed throughout the week of the Synod.

g. In April 2002 a parliamentary reception was arranged as an opportunity for church college leaders to meet with members of both the House of Commons and the House of Lords. Margaret Hodge MP, Minister for Higher Education and Lifelong Learning, spoke about the key issues in the development of government strategy for higher education over the next 10 years, and there was an opportunity to ask questions and raise issues of relevance to the church colleges.

Project code: RCNA05

Identify the areas of environmental impact of HEIs

Start date	September 2000
Expected completion	December 2003
Duration	Three years, three months
Cost	Total project cost: £1,290,000 HEFCE grant: £600,000
R&CF criteria	• Collaborative arrangements between higher education institution • Institutional restructuring with sufficiently innovative aspects to b of general benefit to the sector
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Aims and objectives

Aim: the aim of the Higher Education Partnership for Sustainability (HEPS) is to establish a pioneering partnership group of HEIs that are seen to be achieving strategic objectives through positive engagement with the sustainable development agenda, and to generate the transferable tools, guidance and the inspiration that will encourage the rest of the sector to do likewise.

Objectives

a. To embed a strategic approach to sustainable development into partner institutions.

b. To create a sense of common purpose and leadership among partner groups – to better influence the sector-wide change.

c. To design and trial of an (eventually) web-based system for sustainability reporting for HEIs that has broad support in the sector and is consistent with best practice within the sector and beyond it (for example, Global Reporting Initiative for business). It will also be consonant with government policy (for example, sustainability indicators).

d. To leave senior management in partner institutions with the knowledge, motivation and skills to structure sustainability into the university strategic and operational planning processes; research policies; and curriculum planning across the university.

e. To build similar capacity in the HEI's stakeholder community – business partners, local and regional government, funding councils and other associated organisations, research councils, students and suppliers.

f. To complete a number of innovative partner-designated initiatives that drive forward the agenda, demonstrating clear benefits.

g. To develop materials and processes which are communicated and shared with partners.

Programme of work

Commitment to active engagement in the partnership was agreed at vice-chancellor/principal level, after an Opening Sustainability Review. The work of HEPS is steered through a multi-sector steering committee informed by regular meetings of the lead contacts from each of the partner institutions and delivered through three major types of activities:

a. Individual work programmes (IWP) with each of the partner institutions covering issues such as integrating sustainable development into the strategic plan, raising awareness and training of staff in sustainability related issues, green transport planning.

b. Partnership wide initiatives (PWI) covering areas of interest to all partners and the sector (for example, sustainable finance, sustainable resource and asset management, sustainable procurement, curriculum development, communicating and reporting progress towards sustainable development). These initiatives have generally taken the form of workshops and seminars with representatives from partner institutions, other HEIs and HE sector bodies.

c. The influencing strategy provides a consistent approach for engaging with key organisations that influence the HE sector in order to build their capacity to contribute to sustainable development and enable universities to do the same.

Completed projects to date

a. Web-site created to provide information on the project and guidance documents/tools created by the project for example, Green Travel Plan for HEIs, Sustainable Purchasing in Higher Education and Sustainable Finance.

b. 17 seminars and workshops have been held around the country relating to the PWIs and to raise awareness of the contribution HE can make towards sustainable development. Presentations have also been given to organisations ranging from the Learning and Skills Development Agency and Downing Street Forward Strategy Unit to the Environmental Association of Universities and Colleges.

c. Production of five sets of guidance material specifically for HE relating to sustainable purchasing, green travel plans, sustainable construction, curriculum development, sustainable finance.

d. Collaboration agreed between HEPS and various sector bodies for example, the Association of University Directors of Estates (AUDE), the Association of Heads of University Administrators (AHUA), the Standing College of Principals (SCOP), the British

Universities Finance Directors Group (BUFDG) and Association of University Procurement Officers (AUPO) relating to the incorporation of sustainable development into their policies and procedures as well as supporting the guidance material produced.

e. The HEPS team has put together recommendations for the newly formed SCOP/Universities UK Sustainable Development Strategy Group to take forward.

Interim outcomes

- two workshops have been held with HEPS partners to discuss the development of a suite of indicators that can be used by a HEI to measure its contribution to sustainable development
- the indicators will form part of a can/should/could framework. The reporting system will be available on-line to allow HEIs to input their own data.

Project outcomes

- guidance documents published in early 2003
- book drafted relating to the HEPS process, outcomes and case studies
- an HE and sustainable development strategy paper produced – mid 2003
- an academic position paper on Learning for Sustainable Development
- major awareness raising sessions at the annual conferences of organisations including AUA, BUFDG, the Environmental Association for Universities and Colleges, AHUA and AUDE
- capacity will have been built in the sector wide bodies
- the reporting tool will be being used by the sector
- an event in December 2003 to the HE sector to report back on the outcomes of the HEPS.

Project code: RCNA07

Support for the CUC Governor Development Programme

Start date	April 2000
Expected completion	March 2003
Duration	Three years
Cost	HEFCE grant: £105,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

a. Governor Development Programme: While most universities offer some form of in-house training programmes for their governors, there is a need for wider awareness of the many issues affecting HE, and in 1999-2000 the Committee of University Chairmen (CUC) introduced its national governor development programme comprising a series of seminars.

b. Newsletter: An additional means of enhancing the understanding of governors about the HE sector was the introduction of a regular CUC newsletter which all governors could receive a copy of, containing articles about key issues and events.

Programme of work

a. Governor Development Programme: The programme is offered in the form of an annual series of one-day and two-day residential seminars which are aimed at meeting a variety of needs and is overseen by the CUC Governor Development Group, on which representatives of Universities UK, HEFCE and AHUA also serve. The programmes for relatively new governors cover issues such as governance, finance, estates and HR matters in a more general way, while those for the more experienced concentrate in more detail on specialised aspects of the work of a governing body. All programmes incorporate not only presentations by keynote speakers, including experienced university officers as well as those from Universities UK, HEFCE, the Treasury, Department for Education and Skills and so on, but they also provide the opportunity for discussions and for an informal exchange of experiences among governors from different institutions.

   Five events were organised during 2001-02 as follows:

   - 21 November 2001 University Strategy, Leeds
   - 28/29 January 2002, Induction Seminar, Warwick and Induction meeting for New Chairs
   - 30 April 2002, Financial Management and Risk, London
   - 27/28 May 2002, Experienced Governor's Seminar, Leeds

   In 2002-03 the programme of events comprises:

   - 21 November 2002, University Strategy, London
   - 20/21 January 2003, Induction Seminar for new Governors and Induction meeting for new Chairs
   - 15 April 2003, Human Resource Issues, London
   - 19/20 May 2003, Experienced Governor's Seminar, Sheffield
   - November 2003, Legal Issues seminar, Manchester

   A similar programme of events is expected to form the basis of the programme for 2003-04.

b. Newsletter: The first edition was published in July 2000, and three editions are now issued yearly, normally in April, July and December. The topics covered vary widely. The

CUC has appointed a newsletter editor and established a newsletter steering group on which representatives of Universities UK, HEFCE and AHUA are appointed. This body regularly reports to the CUC Chairman's Executive Group.

Project outcomes

a. Governor Development Programme: The seminars continue to be well-received and the level of uptake at events is increasing, in some cases to maximum capacity. As a result, a small surplus on the direct costs is now being returned (excluding the costs of administering the programme by the Sheffield office) and no claim has been made to HEFCE since 2001-02 in respect of the seminar programme itself. CUC's Governor Development Group receives an analysis of feedback from delegates on all seminars and is building up a cumulative analysis of all events held since the inception of the programme. In addition, with financial support from HEFCE, HESDA was commissioned to conduct a national survey of governor training needs in 2002, the results of which are also helping to inform future development plans, including a possible expansion of the programme to include more regional events and the use of other modes of delivery such as the web.

b. Newsletter: A review of the effectiveness of the newsletter is to be conducted in 2003, with a view to the costs being consolidated within the CUC budget from 2003-04.

Project code: RCNA08

Joint HEFCE/Universities UK project to map the range of contributions which HEIs make to regional development

Start date	March 2000
Expected completion	June 2001
Duration	One year, three months
Cost	HEFCE grant: £151,872
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The aims were:

- to map the current range of contributions which HE institutions make to their regions, including economic, social and cultural

- to improve awareness and understanding of those contributions, and provide a basis for identifying the scope for further development, within institutions, within HE regional consortia, and with regional partners
- to develop an improved methodology for assessing the impact of HEIs' regional activities.

Programme of work

The project was jointly sponsored by HEFCE and Universities UK. It built on the HEFCE Regional Profiles publication (HEFCE 99/27) and work previously commissioned by the CVCP from the Centre for Urban and Regional Development Studies (CURDS) on the regional impact of universities. A steering group was established, chaired by Professor Roderick Floud, Vice-Chancellor of London Guildhall University.

The project worked through the regional consortia of HE institutions. The main elements were:

- to prepare, in consultation with regional consortia and the Regional Development Agencies (RDAs), a template for collecting information on a consistent basis on the range of ways in which HE institutions contribute to their regions
- to commission each consortium to prepare a report using that template (the reports were edited to produce a consistent series by the CURDS project team with an input from Universities UK for the final design)
- to produce a national overview report on patterns and issues arising from the regional report
- to launch the reports with a national conference, organised by Universities UK
- to develop a methodology for assessing the impact of HEIs' regional activities.

Project outcomes

A set of nine regional reports were published by Universities UK, along with a national overview report. These were launched at a conference in London in June 2001 which was addressed by the Minister for Higher Education. In addition a report on methodology for assessing the regional impact of an HEI was published by HEFCE in April 2002.

Project code: RCNA15

Collaborative programme to introduce problem based learning in engineering

Start date	August 2001
Expected completion	July 2004
Duration	Three years
Cost	Total project cost: £684,000 HEFCE grant: £252,000
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

This is a collaborative project between University College London, University of Bristol and UMIST, and the Institution of Electrical Engineers (IEE). The three universities will develop shared curriculum resources with the input of the IEE to enhance undergraduate electronic engineering degrees. Our main aims are:

- to re-design a proportion of year 3 and 4 BEng and MEng curricula to incorporate problem-based learning
- to encourage students to become autonomous learners
- to embed key skills development within the curriculum
- to share curriculum development and learning resources across the three universities
- to establish closer industrial links.

Programme of work

A two-year development cycle is planned for 2002-03 and 2002-04, which will encompass the following activities:

- continuing research into problem-based learning
- identification of common elements of the syllabi for development
- identification of staff training needs
- development of a key skills framework
- staff development activities
- development of 'problem scenarios'
- development of resource base (student guidelines, etc)
- piloting of problems
- revision of problems and resource base
- validation of modules/IEE accreditation.

Delivery of problem-based learning modules is scheduled for:

- academic year 2004-05
- academic year 2005-06: evaluation of problem-based learning approach (and continuing evaluation if funds permit).

Project outcomes

The main outcome will be cohorts of graduates from the three universities who are better able to respond to the needs of employers through their capacity for problem-solving, autonomous learning and key skills development. To achieve this, the three universities will work closely together and with industry to develop realistic, industrially-relevant problems as the focus for student learning.

A framework for key skills development will be developed and implemented, leading to certification alongside the degree transcript, to demonstrate student achievement to potential employers.

Materials will be developed collaboratively to draw on a range of expertise across the three universities and to encourage interdisciplinarity. These materials will be available to others in UK HE who may wish to implement problem-based learning.

While the focus of the project is on improving student learning and employer satisfaction, a key outcome of the project will be the professional development of academic staff across the three universities as they undertake curriculum development activities and engage with key skills and assessment issues. Members of the project team intend to disseminate this experience and the lessons learned through publication.

A robust external evaluation is planned, including formative evaluation. This will culminate in a final evaluation report demonstrating the strengths and weaknesses of a problem-based learning approach to electronic engineering education.

Project code: RCNA17

Foundation degree for teaching assistants

Start date	October 2001
Expected completion	November 2002
Duration	One year, two months
Cost	Total project cost: ca £200,000 HEFCE grant: £98,500
R&CF criterion	Collaborative arrangements between higher education institutions
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Aims and objectives

The foundation degree is specifically designed to provide an opportunity for people working with children and young people to build on their knowledge and experience through study at higher education level, to enhance their understanding of their current professional roles and to provide a route towards obtaining a degree and professional qualifications at a higher level.

The aim of the project was to extend the foundation degree being offered by Canterbury Christ Church University College (CCCUC) to, initially, four church colleges in other geographical areas of the country and support them through collaborative arrangements, to offer the programme to non-traditional candidates for higher education and open up access to teacher training, thereby increasing the pool of those eligible to train for teaching by working towards QTS, through part-time provision located close to their homes. The initial partners are Chester College of Higher Education, Liverpool Hope University College, St Mary's College and the College of York St John.

Objectives are:

- to set up a successful consortium of church colleges offering the Foundation Degree in Children and Young People Learning
- to establish systems and procedures to ensure consistency of entitlement to all students and disseminate good practice across the consortium
- to put in place quality assurance and management systems for the consortium and appoint a project manager to ensure these are carried out.

Programme of work

a. Marketing to potential students and all stakeholders (Local Education Authorities, headteachers, governing bodies, schools and local authority careers services).

b. Design, printing and circulation of all documentation including student and tutor handbooks, study guides, student, tutor and stakeholder evaluation procedures and proformas. Arrangements for assessment including examinations and admissions and registration procedures.

c. Initial awareness-raising meeting with programme director, academic registrar, quality assurance officer and project manager from CCCUC with representatives from consortium church colleges.

d. Follow up visits to each college to carry out a venue specification and complete a memorandum of agreement, and ensure systems are in place to monitor costs and record transcripts and achievement.

e. Establishment of web pages to establish new forms of work based learning, to access current good practice across the consortium and to enable students to 'talk' to each other and share materials.

f. Production of induction packs for students studying at a distance from CCCUC which includes logon accounts for students and tutors in the colleges to log into the programme resources sites.

Project outcomes

The consortium of four church colleges is established, students have been enrolled to target and initial feedback from the first courses completed is positive. Two more church colleges are likely to join the consortium before the end of 2002-03.

Systems and procedures put in place are working well and were further refined at the first annual conference held at the beginning of September 2002, for example:

- each college has established a Programme Management Committee (PMC) which meets termly and reports to the project manager and programme director at CCCUC
- external examining and moderation: Moderation will be by course according to each external examiner's specialist area(s). The project manager meets termly with partners for moderation. This will be a face to face meeting for the first two years. Dates have been set for 2002-03
- the project manager arranges to meet termly with partners to monitor the quality of teaching, learning and assessment as well as learning resources and student support and guidance. She will also observe sessions and meet staff and students
- an annual two-day conference takes place at the beginning of September. Next year this will be at Liverpool and all partners will attend
- external examiners meet annually at the above conference, with minutes and outcomes from the termly PMC meetings. Copies of samples of student work are made available for this meeting
- application forms and registration are sent in batches to CCCUC's academic registrar with the status of the application recorded
- CCCUC sends student packs to each partner once students have been registered centrally. All student staff have a CCCUC computer account
- each consortium college will complete a centre quality monitoring report which will be included in the programme quality report compiled by the programme director at CCCUC.

List of abbreviations

AHUA	Association of Heads of University Administrators
ASN	Additional student number
CCCU	Confederation of Church Colleges and Universities
ESF	European Social Fund
FE	Further education
FTE	Full-time equivalent
HE	Higher education
HEI	Higher education institution
HEIF	Higher Education Innovation Fund
HEROBC	Higher Education Reach-out to Business and the Community
ICT	Information and communication technologies
LSC	Learning and Skills Council
LTSN	Learning and Teaching Support Network
MaSN	Maximum student number
QAA	Quality Assurance Agency for Higher Education
R&CF	Restructuring and Collaboration Fund
RDA	Regional Development Agency
SCOP	Standing Conference of Principals
SEEDA	South East England Development Agency
SME	Small to medium-sized enterprise

Section 1: Summary of approved projects between January 2001 and December 2002

Organisation	Project code	Project title	Grant	Repayable grant
East of England				
University of East Anglia	RCEA03	Higher Education Regional Consortium	150,000	
University of Hertfordshire	RCEA07/L	Development of the De Havilland Campus	1,800,000	1,000,000
University of Essex	RCEA08	Merger with East 15 Acting School, Loughton	869,000	
University of Essex	RCEA10	New facilities to support the Partnership for Higher Education in South Essex	2,000,000	
Writtle College	RCEA11	Implementation of recommendation in Grant Thornton strategic options review	1,500,000	
Anglia Polytechnic University	RCEA12	Restructuring of curriculum framework	1,050,000	
University of Cambridge	RCEA13	Merger of educational and research work at Homerton College with the university's School of Education	1,275,000	
University of Luton	RCEA16	Restructuring the institution	1,154,877	
East Midlands				
Loughborough College of Art and Design	RCEM01	Merger with Loughborough University	512,000	
Loughborough University	RCEM03	Higher Education Regional Consortium	150,000	
De Montfort University	RCEM05	Rationalisation of higher education provision	2,000,000	
University of Lincoln	RCEM06	Rationalisation of higher education provision	3,170,000	
Nottingham Trent University	RCEM07	Restructuring of science, engineering and technology provision	1,500,000	
University of Lincoln	RCEM08	Restructuring of science provision	1,530,000	
London				
Birkbeck College, London	RCLO06	Restructuring of science teaching and research, with transfer of physics to UCL	1,892,000	
Middlesex University	RCLO11L	Restructuring and rationalisation of the estate onto three sites		4,000,000
London Institute	RCLO14	Relocation of Chelsea College of Art	2,000,000	
Imperial College, London	RCLO15	Merger with Wye College	2,500,000	
Goldsmith's College	RCLO16	To commission a project which will enable the development of a national centre of excellence for the arts	50,000	
Institute of Education	RCLO17	Restructuring of the academic portfolio	1,607,000	
Royal Veterinary College	RCLO19/L	Development of a learning resource centre	1,000,000	1,000,000
Ravensbourne College of Design and Communication	RCLO20	Academic realignment and re-equipping	1,000,000	
University of Surrey, Roehampton	RCLO23	The Development of the Surrey Federation	50,000	
University College London	RCLO25	Rationalisation of the estate	2,000,000	
Wimbledon School of Art	RCLO26	Options review into merger/collaborative arrangements	21,973	
Royal Holloway, University of London	RCLO28	Feasibility study for strategic collaboration	60,000	
London Metropolitan University	RCLO29	Development of initial business plan into merger	100,000	
King's College, London	RCLO32	Academic realignment	150,753	

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Organisation	Project code	Project title	Grant	Repayable grant
Conservatoire of Dance and Drama	RCLO33	Collaborative arrangements between the Bristol Old Vic Theatre School and the Conservatoire for Dance and Drama	536,000	
Trinity College of Music	RCLO34	Development of collaborative arrangements with Laban	850,000	
North-East				
University of Newcastle upon Tyne	RCNE01	Higher Education Regional Consortium	150,000	
University of Teesside	RCNE02	Redevelopment of the university's academic portfolio	1,050,000	
University of Sunderland	RCNE03	Support and deliver a flexible learning strategy	1,634,000	
University of Northumbria at Newcastle	RCNE04	Development of a Learning resource centre at Carlisle	1,350,000	
University of Newcastle	RCNE05	Development of Links between the universities in the North East and the new Sage Gateshead (formerly the Gateshead Music Centre)	306,381	
University of Sunderland	RCNE06	Reprofiling of academic portfolio and rationalisation of estate	4,350,000	
University of Sunderland	RCNE08	Support for the University in developing its recovery plan	1,417,411	
North-West				
University of Lancaster	RCNW02	Academic realignment	1,856,000	
University of Manchester	RCNW03	Restructuring and realignment of the university's medical school	1,000,000	
Manchester Metropolitan University	RCNW04	Higher Education Regional Consortium	150,000	
Edge Hill College of Higher Education	RCNW05	Higher Education Regional Consortium	75,000	
University of Salford	RCNW06	Restructuring of science & engineering provision	1,875,000	
Liverpool John Moores University	RCNW07	Support for Liverpool Institute of Performing Arts	2,340,000	
Chester College of Higher Education	RCNW08	Diversification and expansion of college portfolio	1,050,000	
Bolton Institute of Higher Education	RCNW11	The development of seven key strategic programme areas	1,000,000	
Liverpool John Moores University	RCNW12	Support for the UK's capabilities in the use of robotic telescopes in higher education teaching, research and public outreach	1,500,000	
UMIST	RCNW13	Restructuring civil engineering provision	1,874,000	
University of Central Lancashire	RCNW14	Structural realignment of Department of Engineering & Product Design and Department of Computing	1,681,000	
Chester College of Higher Education	RCNW15	Merger of Chester and Warrington Collegiate Institute	3,992,000	
South-East				
Canterbury Christ Church University College	RCSE01	The creation of the new Thanet campus	1,392,292	
The Surrey Institute of Art and Design	RCSE03	Consortium of joint activities between specialist providers of art, design and communication studies.	116,500	
University of Surrey	RCSE08	Higher Education Regional Consortium	187,500	
University of Southampton	RCSE10	Restructuring of the institution	3,449,079	
University of Kent at Canterbury	RCSE13	Feasibility study into expansion of HE provision at the Medway campus	34,332	
University College Chichester	RCSE14	Support for restructuring the academic portfolio	912,000	
Southampton Institute	RCSE18	Support for the university in developing its recovery plan	282,087	
South-West				
University of Bath	RCSW02	Support for the transfer of physics from UEA	185,935	

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Organisation	Project code	Project title	Grant	Repayable grant
University of Exeter	RCSW03	Higher Education Regional Consortium	150,000	
Falmouth College of Art	RCSW06	Support for the Combined Universitites of Cornwall	325,000	
University of Exeter/University of Plymouth/Falmouth College of Art	RCSW07	Support for the Combined Universitites of Cornwall	3,500,000	
Bath Spa University College	RCSW08	Support to provide a regional centre for the performing arts	1,000,000	
Bournemouth University	RCSW09	Support for a study in to student demand	1,600,000	
West Midlands				
Coventry University	RCWM01	Support for the development of the Leicester Warwick Medical School	278,000	
University of Keele	RCWM03	To support the restructuring of the university	1,509,000	
University of Wolverhampton	RCWM04	Higher Education Regional Consortium	75,000	
University of Wolverhampton+A42	RCWM06	Rationalising and restructuring science, technology and language provision	1,599,000	
Staffordshire University	RCWM07	To support the university's reprofiling and strengthening of its provision in science, engineering and technology	2,185,500	
University of Birmingham	RCWM08	Merger with Westhill College	2,500,000	
University College Worcester	RCWM10	To support restructuring of the academic portfolio	954,000	
Newman College	RCWM11	To support restructuring of the academic portfolio	400,000	
Yorkshire and the Humber				
University of Leeds	RCYH02	Higher Education Regional Consortium	153,800	
University of Bradford	RCYH03	Collaboration with Bradford College	184,000	
University of Hull	RCYH04	Merger with North Riding College	1,356,000	
University of Sheffield	RCYH06	Support for the transfer of chemistry from Lancaster University to the University of Sheffield	612,500	
University of Leeds	RCYH08/L	Merger with Bretton Hall College	7,350,000	3,000,000
University of Leeds	RCYH09	Support to improve library and information support for law researchers in the UK HE community	160,000	
York St. John College	RCYH12	Support for the development of a new learning centre	3,400,000	
University of York	RCYH13	Support for collaboration between the University of York, College of Ripon and St John and York College	100,000	
University of Bradford	RCYH14	Support for restructuring of the academic portfolio	3,000,000	
University of Hull	RCYH15	Support for rationalisation of HE provision in Hull	2,500,000	
University of Huddersfield	RCYH16	Support for re-structuring the Consortium for Post-Compulsory Education and Training	800,000	
University of Hull	RCYH17	Development of a consortia pilot	25,000	
National				
Institute for Learning and Teaching	RCNA01	Contribution to ILT setting up costs	1,758,430	
St. Mary's College	RCNA02	To facilitate a collaborative network between the church colleges	75,000	
Middlesex University	RCNA05	Identify the areas of environmental impact of HEIs	600,000	

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Organisation	Project code	Project title	Grant	Repayable grant
University of Sheffield	RCNA07	Support for the CUC Governor Development Programme	105,000	
University of Newcastle	RCNA08	Joint HEFCE/UUK project to map range of contribution HEIs make to regional development	151,872	
University College London	RCNA15	Collaborative programme to introduce problem based learning in engineering	252,000	
Canterbury Christ Church University College	RCNA17	Foundation Degree for teaching assistants	98,500	

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